NAVAL POSTGRADUATE SCHOOL
Monterey, California

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THESIS

NAVAL POSTGRADUATE SCHOOL
COST CENTER
FINANCIAL MANAGEMENT GUIDE

by

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The purpose of this thesis is to identify the functions and responsibilities of the Naval Postgraduate School personnel who rountinely manage operating and research funds; and to develop a comprehensive, entry level financial management guide to assist cost center personnel in effectively managing these financial resources.

The management guide provides an introductory background to the key financial concepts and terms associated with the Navy's Resource Management System (RMS), followed by a description of the procedures necessary to prepare the financial documents commonly used at the Naval Postgraduate School. The guide then depicts the basic flow of the School's financial documents, and concludes with recommended procedures for preparing, maintaining and reconciling sub-cost center accounting records. The guide is primarily intended for use in the cost and sub-cost centers of the Naval Postgraduate School, Monterey, California.

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Naval Postgraduate School
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ABSTRACT

The purpose of this thesis is to identify the functions and responsibilities of the Naval Postgraduate School personnel who routinely manage operating and research funds; and to develop a comprehensive, entry level financial management guide to assist cost center personnel in effectively managing these financial resources.

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I. INTRODUCTION

A. PURPOSE

The purpose of this thesis is to develop a comprehensive, entry level financial management guide to assist cost center personnel in effectively managing financial resources. The guide is intended for use in the cost and sub-cost centers of the Naval Postgraduate School (NPS), Monterey, California.

The financial management guide was developed by first identifying the functions and responsibilities of the Naval Postgraduate School personnel who routinely manage the School's funds. Once an understanding was gained of the organization and its functional requirements, a guide was prepared to present the information in a logical sequence, using a minimum of technical jargon. The guide was then reviewed for accuracy and content by the Comptroller and various cost/sub-cost center staff.

The financial management guide is primarily designed to help cost center personnel, who may have little previous exposure to Navy resource management, understand the fundamentals of the system. With this goal in mind, the question we continually asked ourselves was, "is there really a need to know?" Many aspects of the guide, therefore, have been simplified to a great extent to prevent "submerging" essential information in a "sea of unnecessary detail". Some aspects of financial management, the budgetary process - for example, have been completely excluded for this very reason. When distributed to the cost centers, the financial management guide should permit untrained personnel to quickly assimilate the basic information necessary to effectively perform cost center financial management - whether it be document preparation for purchases, travel, training or labor, or the preparation, maintenance or reconciliation of cost center accounting ledgers. The guide should also serve as a convenient reference source for persons involved in the complexities of the Navy's Resource Management System on a daily basis.

B. BACKGROUND

Ashore Naval activities (Fund Administering Activities) are allocated funds, in the form of Allotments, in order to perform their assigned missions. The major sources of funding include Operations and Maintenance, Navy (O&M,N) for general operations, Other Procurement, Navy (OP,N) for investment type purchases, and reimbursable funding to support the specific needs of other DOD components. Typically, Fund Administering Activities (FAA) centrally manage the obligation and expenditure of OP,N and reimbursable funds, and reallocate a portion of O&M,N funds as Operating Targets, or OPTARs, to cost centers. The cost centers, in turn, distribute the funds to their respective sub-cost centers. The Fund Administering Activity is required to budget, account, manage, and report on the use of these resources.

Research efforts at the Naval Postgraduate School, a Fund Administering Activity, require more flexibility in the control of these funds than normally found elsewhere. Academic departments (cost/sub-cost centers) may simultaneously engage in several research projects requiring the use of OP,N funds for major equipment purchases, reimbursable funds for non-Navy research, and, as of FY88, O&M,N funds for Navy sponsored research projects and routine operations.

With the large number of cost and sub-cost centers, and the myriad requirements for administrative, educational and research funding at the Naval Postgraduate School, it is imperative that the flow of financial information between department and comptroller be both accurate and timely. Failure to adequately track the status of funding commitments, obligations, receipts and expenditures results in erroneous entries in the command's official financial records, held by the Authorization Accounting Activity/ Financial Information Processing Center (AAA/FIPC). Errors in these records, as well as unreconciled differences in the "unofficial", or local memorandum accounting records held at the local level, may result in the inefficient allocation of financial resources, delays or loss of any additional funding which become available, and a violation of Federal law. For these reasons, it is imperative that cost/sub-cost centers be provided with the necessary tools to effectively exercise their fiscal responsibility.

C. RESEARCH OBJECTIVE

The impetus for the financial management guide stems from a number of findings and recommendations contained in the *Naval Audit Service Audit Report of the Naval Postgraduate School* dated 22 January, 1987, [Ref. 1] and the *Naval Postgraduate School Internal Review Office (IRO) OPTAR Accounting Procedures Evaluation* of 21 August, 1989, [Ref. 2]. Two recommendations contained in the IRO evaluation [Ref. 2] specifically addressed the following:

- That the NPS Comptroller develop a desk guide with step by step instructions on how to establish, update, reconcile and modify an OPTAR expenditure record book.
- That the NPS Comptroller provide training for new staff members in the academic departments who will be responsible for maintaining OPTAR records...

In addition to fulfilling the recommendations of the NPS Internal Review Office, and based upon our findings and those contained in Tillotson's, *An Analysis of Administrative Controls for Management of Financial Resources at the Naval Postgraduate School* [Ref. 3] (a thesis research project conducted concurrently with our own), it was thought that the guide should also serve as a central means of providing information on a number of related topics, i.e., an overview of the Navy's Resource Management System, the legal implications of fund management, cost accounting and local management codes, and document routing procedures, to name but a few.

The research objective, therefore, was to develop a financial management guide to assist cost/sub-cost center personnel in understanding the fundamentals of the Resource Management System, as well as help them to effectively prepare and maintain financial records. Effective reporting and record keeping by all NPS cost centers will assist in the efficient allocation and redistribution of OPTAR and research funding.

D. RESEARCH QUESTION

The two primary research question were: To improve the accuracy and timeliness of NPS cost/sub-cost center reporting, what elements of the Resource

Management System (RMS) should be incorporated in a financial management guide? Secondly, by conducting a review of RMS policies and procedures at the Naval Postgraduate School, what recommendations for improvement could be suggested? Additional questions included:

- What are the cost center fiscal reporting requirements with respect to direct and reimbursable funding?
- What are the cost center responsibilities regarding research funds and how do they account for funds received?
- How do the flow of funds and supporting documentation occur at the Naval Postgraduate School?
- What methods are used to record financial transactions and how do cost centers reconcile their financial records with Comptroller Department records?
- Which aspects of financial reporting and record keeping do cost center personnel find most difficult to prepare?

E. SCOPE, LIMITATIONS, AND ASSUMPTIONS

This thesis focuses on assessing the requirements of cost center financial reporting at the Naval Postgraduate School and preparing an informational guide to simplify the preparation of RMS financial reports and records. Management to Payroll (MTP) is centrally managed by the NPS Comptroller; therefore, with the exception of labor document preparation procedures and a brief overview of departmental responsibilities, it has been specifically excluded.

The financial management guide is intended for use by government employees who have little or no experience in managing Navy funds. The guide addresses only those areas considered essential, i.e., those areas which could impact upon a new employee's ability to effectively perform his or her job with respect to managing financial documents or properly recording financial transactions. As with any text of this scope, it is impossible to discuss every conceivable situation which may arise, nor can words alone compensate for a lack of actual experience. The guide should, however, provide a basic understanding of the financial management process as it applies to the Naval Postgraduate School and serve as a convenient reference source while financial management experience is acquired.

F. LITERATURE REVIEW AND METHODOLOGY

Information for this thesis was obtained in two ways: a literature review of NPS Comptroller related instructions and manuals, current Naval directives and instructions, guidance prepared by other naval activities and individuals; and field research.

1. Literature Review

An extensive study of available literature was conducted using the following guidelines: the information obtained must be relevant to the needs of cost center financial managers, and the information must be sufficiently detailed to enable a user of the guide to become functionally proficient in managing cost/sub-cost center financial resources. Some digression from these guidelines was exercised in preparing the introductory chapters of the guide, simply to provide a basic understanding of the terms, organizations and processes involved in the financial system external to the Naval Postgraduate School, without inundating the reader with details of the system he or she is unlikely to encounter.

The literature review encompassed a number of manuals, reports and instructions prepared by the Naval Postgraduate School and its Comptroller

Department [Ref. 4-9]; thesis research conducted at NPS in the area of financial management [Ref. 10-13]; course and supplementary reading materials used in the NPS Financial Management curriculum [Ref. 14-17]; and Navy financial management manuals and instructions [Ref. 18-27].

2. Field Research

Interviews were considered the most practical and cost effective vehicle for collecting the views, judgments and appraisals of those involved with the preparation of cost center financial reports and records. The following organizations were interviewed:

a. Comptroller Department

Comptroller Department personnel were interviewed to determine current problems associated with the management of NPS funds and to gain an understanding of the School's system of internal controls. Persons interviewed included the Deputy Comptroller, division heads within the Comptroller Department, account and budget technicians, travel and edit clerks, and payroll personnel.

b. Research Administration Office (RAO)

Personnel within the Research Administration Office, including the Dean Of Research, were interviewed to determine their functions and responsibilities with respect to direct and reimbursably funded research projects.

c. Personnel Support Detachment (PSD)

PSD personnel were interviewed to determine their responsibilities with respect to the disbursement of funds for travel or training requirements.

d. Supply Department

Supply Department personnel provided information on the correct procedures for requisitioning and receiving goods.

e. Cost/Sub-Cost Centers

A number of cost and sub-cost center personnel, including members of the Administrative Science, Operations Research and Meteorology departments, were interviewed to determine how they routinely conducted business and to ascertain their level of understanding with respect to the Navy Resource Management System, account ledger reconciliation procedures and financial terminology.

The information obtained during our interviews, as well as that obtained during the concurrently conducted thesis mentioned earlier, was invaluable in determining the focus of the guide and the level of information necessary to meet the needs of the end user.

G. ORGANIZATION OF STUDY

Before discussing the organization of the study, an explanation of the format of the thesis is in order. As indicated in the Table of Contents, the organization of this thesis is somewhat unconventional. The reasons for this are threefold:

- The result of this thesis is a separate financial management guide. Incorporating the guide into the body of the thesis would make it difficult for the guide to be physically separated from the thesis discussion.
- The financial management guide contains its own Appendices and reference list. Placing the guide before the required thesis elements, such as the thesis List of References and Distribution List, would confuse a reader

more than simply appending the entire financial management guide to the end of the thesis.

- The authors felt that the thesis formatting requirements, while appropriate for a conventional thesis, were not appropriate for an informational guide.

With this in mind, Section II presents the Recommendations and Conclusions of the research. The recommendations included in Section II are a response to the second primary research question identified earlier, while Appendix A, the Naval Postgraduate School Cost Center Financial Management Guide, satisfies the first primary research question. The guide provides an introductory background to the key financial terms and concepts associated with the Navy's Resource Management System (RMS), followed by a description of the procedures necessary to prepare the financial documents commonly used at the Naval Postgraduate School. The guide then depicts the basic flow of the School's financial documents, and concludes with recommended procedures for preparing, maintaining and reconciling sub-cost center accounting records. Several works have been appended to the guide, including an excellent glossary of financial terms prepared by Lieutenant Commander Daniel M. Lien, USN and a guide for preparing Personnel Request forms developed by the Civilian Personnel Department, Naval Construction Battalion Center, Port Hueneme, California.

II. RECOMMENDATIONS AND CONCLUSIONS

A. RECOMMENDATIONS

The objective of this thesis was to write a guide to standardize cost center accounting procedures and to improve the management of financial resources at the Naval Postgraduate School. During the course of our research, several areas of concern became apparent and are set forth in the following recommendations:

RECOMMENDATION 1:

The Naval Postgraduate School develop or procure a standardized automated cost center accounting program.

As shown in the management guide appended to this thesis, manually maintaining cost center accounting ledgers is a time consuming process. In an effort to cope with the School's accounting requirements, cost centers, sub-cost centers and principal investigators have resorted to purchasing a number of commercially available software packages. While helpful, these accounting programs do not provide any degree of standardization and vary greatly in user interface design, capacity and functionality.

In an effort to remedy the problem of cost center accounting standardization, the Comptroller Department has recently released an automated template for Lotus 1-2-3. While providing standardization to the Comptroller's Monthly Report, the use of a Lotus template has several key disadvantages:

- Cost - Each cost center will require a licensed copy of Lotus 1-2-3 in order to use the template.

- Training - Lotus is a sophisticated program which requires a significant amount of training prior to gaining proficiency. The program is not particularly "user friendly" and watching Lotus 1-2-3 perform a series of computations using its macro functions would probably intimidate most cost center users.

- Data security - Lotus does not have an autosave function to prevent accidental loss of data. Additionally, the Lotus global protect feature does not provide adequate safeguards to prevent the accidental manipulation of data or formulas. In our opinion, Lotus 1-2-3 is more appropriate for the experienced single user. Without the necessary safeguards, a number of inexperienced users using the same copy of the program will probably result in extensive data corruption to the cost centers data files and additional manhours being spent in correcting erroneous data.

As a alternative to Lotus, a relational database program should be considered. Several database programs, e.g., dBase IV, FoxPro, can be compiled, using a compiler or application generator, to create stand alone application programs. Software of this nature has several distinct advantages over Lotus 1-2-3:

- Cost - By using software that can be compiled, without license restrictions, into executable programs, the School can freely distribute a locally developed database program without having to purchase numerous licensed copies of the original software package.

- Training - A locally developed database program can be designed with a "user friendly" interface. Unlike Lotus, a compiled database program can be designed to be menu driven with extensive pop-up help, data, and information screens. This would allow individuals with little or no computer experience to use the program; thereby reduce training costs.

- Security - A locally developed database program can be designed to eliminate user tampering; this would prevent data file corruption and increase the accuracy of input. Automatic save and backup features could also be incorporated.

A number of features considered appropriate for a "user friendly" local accounting program include:

- capable of multiple account applications.

- allows narrative titles.
- pop-up menu selection of accounts.
- able to track account subtotals.
- can be configured with local codes and serial numbers.
- automatically tracks the use of document serial numbers, etc.
- has several fields adaptable for cost center use, e.g., sub-account numbers for research, and budget codes.
- has pop-up selection of job order numbers for OPTAR, i.e., Software = RXXXX, Trans = EXXXX, RegFee = QXXXX.
- hides unnecessary fields.
- has an account balancing capability.
- requires an explanation for changes to transaction status.
- assigns sequential document numbers with override.
- has maintenance features, i.e., backup, and restore.
- provides an adequate audit trail.
- provides automatic save, or queries to save, upon exit.

RECOMMENDATION 2:

That NPS conduct an analysis of future information system requirements for internal financial accounting and management control systems.

The use of Lotus 1-2-3 appears to be a short term, and costly, solution to the School's need for accurate and timely accounting information. Not only will extensive training be required, but a licensed copy of the software, or corporate license, will be required for each work station. Rather than an emphasis on short term solutions, the School should evaluate its future needs, if any, for a long term solution to total system integration. In other words, does the School require a Local Area Network to tie its cost centers to the Research Accounting Office (RAO) and Comptroller Department? Could modem communications be used to access Comptroller records, in a read only mode, to update cost center records? Will the accounting software purchased now interface with the hardware or software requirements of an integrated system, and will the software purchased today satisfy the needs of tomorrow?

RECOMMENDATION 3:

The Comptroller's Monthly Report should be changed to a more readable format.

In its current form, the Comptroller's report is difficult to read and interpret. Further, since it is cumulative in nature, cost centers reconciling their accounts must review every transaction since the beginning of the fiscal year to determine if a change in transaction status or price has occurred. It is recommended that the Comptroller develop a system that readily identifies transaction adjustments or switch to an event based reporting format, i.e., report price changes, expenditures, and cancellations as separate transactions referencing the originating document number.

RECOMMENDATION 4:

Cost/sub-cost center Funding Authorizations should include specific responsibilities and requirements for fund administration and account reconciliation.

Fund Authorizations for OPTAR, and Granting of Funding Authorizations for research accounts, do not specify basic responsibilities for fund administration or account reconciliation, nor do they clearly define any restrictions and imposed ceilings. Appropriation allotments received by the School clearly reflect restrictions on fund utilization. It would seem appropriate that cost centers be given the same guidance regarding the use of their funds. Guidance should clearly state reconciliation responsibilities, as well as those responsibilities concerning the management of research accounts.

RECOMMENDATION 5:

One assistant within each cost/sub-cost center should be assigned overall accounting responsibility.

Currently, several cost centers split accounting responsibilities along functional lines, i.e., one individual manages purchasing, another travel, and another labor. Without someone being assigned overall accounting responsibility, the reconciliation process is prone to error.

RECOMMENDATION 6:

Separation of duties.

It was noted that several cost centers have the same individual assigned the responsibilities for requisitioning, receiving, and accounting for purchases. General guidelines for internal control procedures require the separation of accounting from the custody of assets, as well as the separation of transaction authorization from the custody of related assets.

RECOMMENDATION 7:

Standardized Accounting Terminology.

The terminology used on the Comptroller's Monthly Report is confusing and should be revised, e.g.,

- Change the title of "Other Reimbursables", shown on the monthly Reimbursables Report, to "Miscellaneous Reimbursables". This will prevent confusion with those reimbursable funds identified as "Other" than research.
- On the monthly OPTAR Report, change the column heading listed as OPTAR Auth., to OPTAR Auth. (less Travel).
- On the monthly OPTAR Report, change the column headings listed as OBL ORIG and OBL/EXP, to EST. OBL. and ACT. OBL.

RECOMMENDATION 8:

Training on accounting and reconciliation procedures should be regularly provided to cost center personnel.

While the management guide developed in this thesis should provide a solid foundation for cost center account management, the guide does not displace the need for training. The Navy's Resource Management System is complex and dynamic; local changes in policy and personnel turnover warrant training at least on a quarterly basis.

RECOMMENDATION 9:

Annually update the NPS Cost Center Financial Management Guide.

The financial management guide has been prepared using information applicable to fiscal year 1990. It is hoped that the guide will continue to serve the needs of its users well into the future. In order for the guide to remain viable, however, it must be continually updated and enhanced. It is recommended that cost centers submit change recommendations, throughout the year, to a central point within the Comptroller Department, and that someone within the Department be assigned responsibility for the guide's maintenance. The master copy of the guide, written in Word Perfect 5.0 and contained on computer disk, has been provided to the Comptroller Department for this purpose.

B. CONCLUSIONS

The objective of this thesis was to identify the functions and responsibilities of the Naval Postgraduate School personnel who routinely manage operating and research funds; and to develop a comprehensive, entry level financial management guide to assist cost center personnel in managing their financial resources.

The authors hope that the management guide will serve as a basic training guide for NPS personnel unfamiliar with Navy accounting policies and practices, as well as a reference source for the daily management of cost center accounts. Although much of the ground work has been laid, without continued support, time and the dynamic nature of financial management will quickly make the guide obsolete.

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APPENDIX A

NAVAL POSTGRADUATE SCHOOL COST CENTER FINANCIAL MANAGEMENT GUIDE

APPENDIX A

NAVAL POSTGRADUATE SCHOOL
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FINANCIAL MANAGEMENT GUIDE

Naval Postgraduate School

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Cost Center

NAVAL POSTGRADUATE SCHOOL
EXCELLENCE THROUGH EDUCATION

Financial Management Guide

Fiscal Year 1990

PREFACE

This guide is written to assist persons who are assigned the responsibility of accounting for government funds at the Naval Postgraduate School. The guide develops a framework for understanding the Navy accounting system and provides a set of standardized procedures for use in appropriated fund accounting.

This guide is divided into four major parts:

Part I Financial Management Overview.

Part II Document Preparation Procedures.

Part III Document Processing.

Part IV Accounting Procedures.

The text does not profess to be totally comprehensive; there are numerous exceptions and many special situations which, if explained in depth, would only serve to complicate matters further. The primary objective of this guide is to provide a solid basis for functioning in the Navy's financial environment. A comprehensive glossary of financial and accounting terms is contained in Appendix A. Appendix B provides a list of references which further amplify various aspects of Navy financial management.

We hope this guide will be of benefit to you. We certainly learned a great deal putting it together.

David Mascarin

Mike Sanders

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Part
I

FINANCIAL MANAGEMENT OVERVIEW

CHAPTER 1

AN OVERVIEW OF THE NAVY ACCOUNTING SYSTEM

Before introducing the general concepts associated with Navy accounting, it is important to establish the reasons for exercising good accounting practices and maintaining accurate accounting records.

First, accurate accounting records assist the Naval Postgraduate School and its cost centers to stay within the spending limits set by higher authority. A violation of these limits is a serious offense and may result in stiff penalties being imposed upon those who fail to comply with federal regulations. Secondly, inaccurate accounting records may perpetuate a perception of inefficient funds management and ultimately lead to a reduction in funding. The purpose of the guide, therefore, is to provide cost centers with the information necessary to maintain accurate accounting records and effectively manage financial resources.

In this Chapter we will discuss, in general terms, the key organizations and processes involved in the Navy accounting system . First, we will look at who keeps accounting records; then, we will observe how information is captured and recorded in these records; and finally, we will examine the reconciliation process.

Who Keeps Accounting Records?

To efficiently allocate and utilize resources within the Department of the Navy, information is needed at all levels of management. Upper levels of management require information for long range decisions, while middle and lower management require information for short range decisions.

The Navy's Resource Management System (RMS) is a formal system that performs the functions of budgeting, accounting, and managing funds. This system is the source of financial management information for middle and upper levels of Navy management; while local records serve as the basis for lower management decisions and a means of ensuring that information is reported accurately into RMS.

The need for information at local and higher levels of management require at least three different sets of accounting records be maintained. The three levels of accounting records maintained for the Naval Postgraduate School are:

1. **Financial Information Processing Center (FIPC).** The Navy Regional Finance Center (NRFC), Washington, D.C., commonly referred to as the Authorized Accounting Activity (AAA) is NPS's Financial Information Processing Center. It is responsible for maintaining the

official/legal accounting records for NPS and for generating official accounting reports which are forwarded directly to upper levels of Na management.

2. **NPS Comptroller.** The NPS Comptroller maintains a set of memorandum, or unofficial records. These records centralize control NPS funds and provide a check on the official records. Information from these records provide the basis for resource management at the NPS.

3. **Cost Center.** The cost center also maintains a set of memorandum, unofficial records. A *cost center* is a NPS department or organization entity that has been delegated the authority to expend funds. Recor are kept at this level to maintain a current balance, to ensure that authorized spending ceilings is not exceeded, and to verify that transactions post accurately to the Comptroller's and FIPC's records.

How Information Gets into the Accounting Records.

As we have seen, the cost center, Comptroller, and FIPC each maintain separate accounting records. Now let's examine how transactions are captured ar recorded into the accounting records at each of the three levels. To understand t we must first understand the transaction cycle.

Transaction Cycle.

Each transaction goes through a relatively simple series of events called th *transaction* cycle. As a transaction goes through this cycle, the transaction's accounting status changes. The following events describe the transaction cycle ar its relationship to the accounting status (see Figure 1.1):

1. The cycle begins when a need for material or service arises.

2. The fund manager authorizes the purchase of an item or service with requisition. The requisition obligates the funds needed for the purcha This *Obligation* is considered an *Undelivered Order (UDO)* until good and services have been received.

3. When the item or service is received, payment is due to the supplier. The funds remain in an obligated status, but the Obligation is now classified as an *Accounts Payable*.

4. The supplier bills the government by mailing an invoice to the receiv activity. Once the invoice is certified to be proper, it is forwarded to the appropriate paying office for payment.

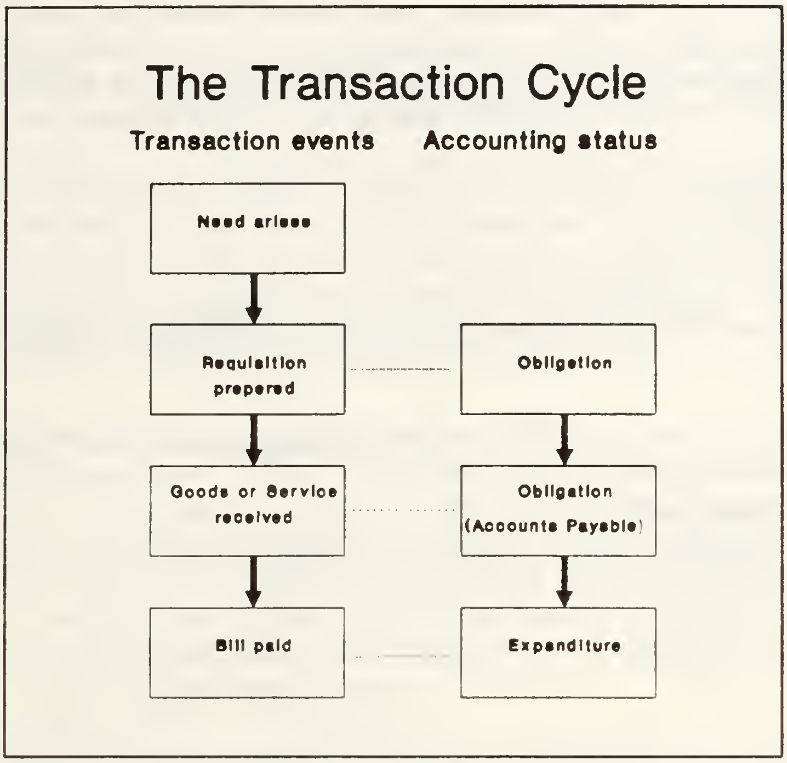

The Transaction Cycle
Transaction events
Accounting status
Need arises
Requisition prepared
Obligation
Goods or Service received
Obligation (Accounts Payable)
Bill paid
Expenditure

Figure 1.1 Transaction Cycle

The transaction cycle is complete when the supplier is paid and the payment information is matched with the initial obligation. The Obligation is then liquidated and the transaction is then classified as an *Expenditure*.

The following definitions further amplify the meaning of the transaction's accounting status:

1. **Obligation.** An obligation is a legal reservation of funds. An obligation is incurred when an order is placed, or when a contract is awarded for the delivery of goods or performance of services. An obligation legally encumbers a specific sum of money for future expenditure. Examples of obligations include the issuance of travel orders or requisitions.

2. **Expenditure.** An expenditure is the actual payment, disbursement, or transfer of funds. It represents the final stage of the transaction cycle.

Using the transaction cycle as a frame of reference, we can now examine how these events are captured and recorded by the accounting system. Figure 1.2 provides a graphical representation of how accounting information enters the Navy accounting system. The circled letters in the diagram corresponds to the narrative below:

(A) When a requisition or set of travel orders is initiated, the transaction i entered in the cost center's ledger as an obligation.

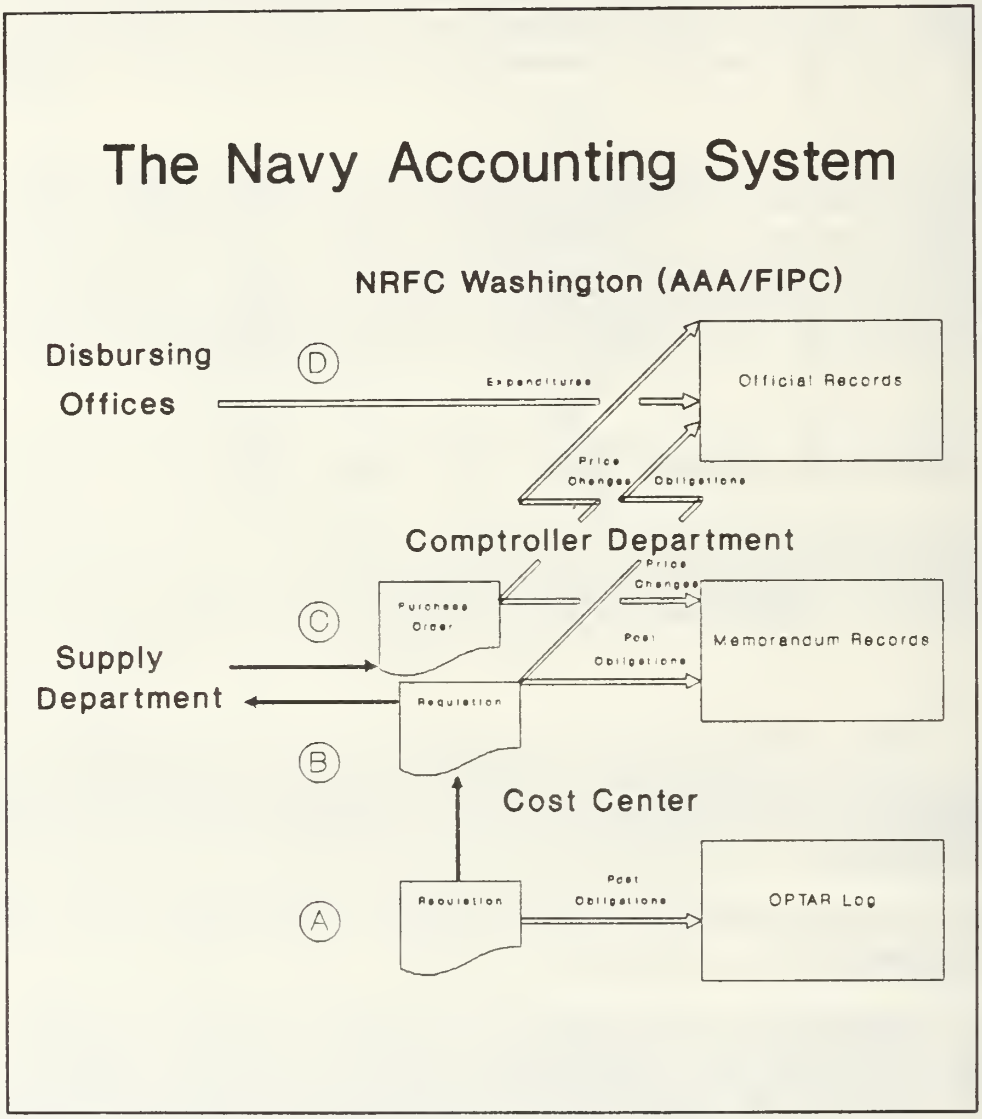

The Navy Accounting System
NRFC Washington (AAA/FIPC)
Disbursing Offices
Ⓓ
Expenditures
Official Records
Price Changes
Obligations
Comptroller Department
Price Changes
Purchase Order
Ⓒ
Supply Department
Post Obligations
Memorandum Records
Requisition
Ⓑ
Cost Center
Requisition
Ⓐ
Post Obligations
OPTAR Log

Figure 1.2 Flow of Accounting Data

(B) Requisitions and travel orders are passed to the Comptroller Department, where the transaction is entered as an obligation into both the Comptroller's memorandum records and the official records at the FIPC. Comptroller personnel enter obligations into the FIPC database through on-line computer terminals.

(C) After items requested have been ordered, the Supply Department notifies the Comptroller of any price changes. This information is used to adjust the amount of the Obligation in both the Comptroller's memorandum records and the official records at the FIPC.

(D) When a Disbursing Office (located at a FIPC or a field activity) pays a vendor's invoice or a travel claim, the information is reported electronically to the appropriate FIPC. The payment information is then electronically matched with obligations resident in the FIPC database. If the information matches, the matched obligation is liquidated and the transaction is reflected as an expenditure in the official records.

The amount of the expenditure often differs from the amount of the obligation. This is almost always the case with travel expenses, since it is difficult to predict the exact amount of the travel entitlement. The amount paid suppliers of goods and services can also differ as a result of discounts taken for early payment. Expenditure posting errors can also lead to differences in the amount obligated and expended. When the expenditure posts to the accounting records, the obligation is liquidated and replaced with the actual amount of the expenditure.

As Figure 1.2 illustrates, some events are not captured by all three levels. As a result of this inconsistency, a mechanism must exist for transmitting information and reconciling differences between the three levels. This is where the reconciliation process comes in.

The Reconciliation Process.

Much like the bank statements used to reconcile checking accounts, monthly accounting reports are used to reconcile memorandum accounting records with the official records. Each month, the FIPC produces a set of accounting reports/transaction listings reflecting the activity in the official records. The Comptroller reconciles the locally maintained memorandum records with information in these FIPC reports/transaction listings. The Comptroller subsequently issues a monthly report to cost centers from their updated accounting records, and cost centers reconcile their records from information contained in these reports.

Monthly accounting reports serve three principle functions in the reconciliation process:

First, they serve as the primary source of information for making adjustments. Referring back to Figure 1.2, we see that expenditure information is captured by the FIPC, but not by the Comptroller or cost center. We also see that price changes are reflected in the FIPC and Comptroller records, but not in those of the cost center. Monthly accounting reports provide price change, cancellation and expenditure information to cos centers - just as bank statements provide interest earned, bank fees, or chec printing charges. Expenditure information is transmitted to the Comptrolle through the AAA/FIPC Monthly reports and transaction listings. Expenditu and price changes are further transmitted to individual cost centers throug the Comptroller monthly reports. See (E) and (F) shown in Figure 1.3.

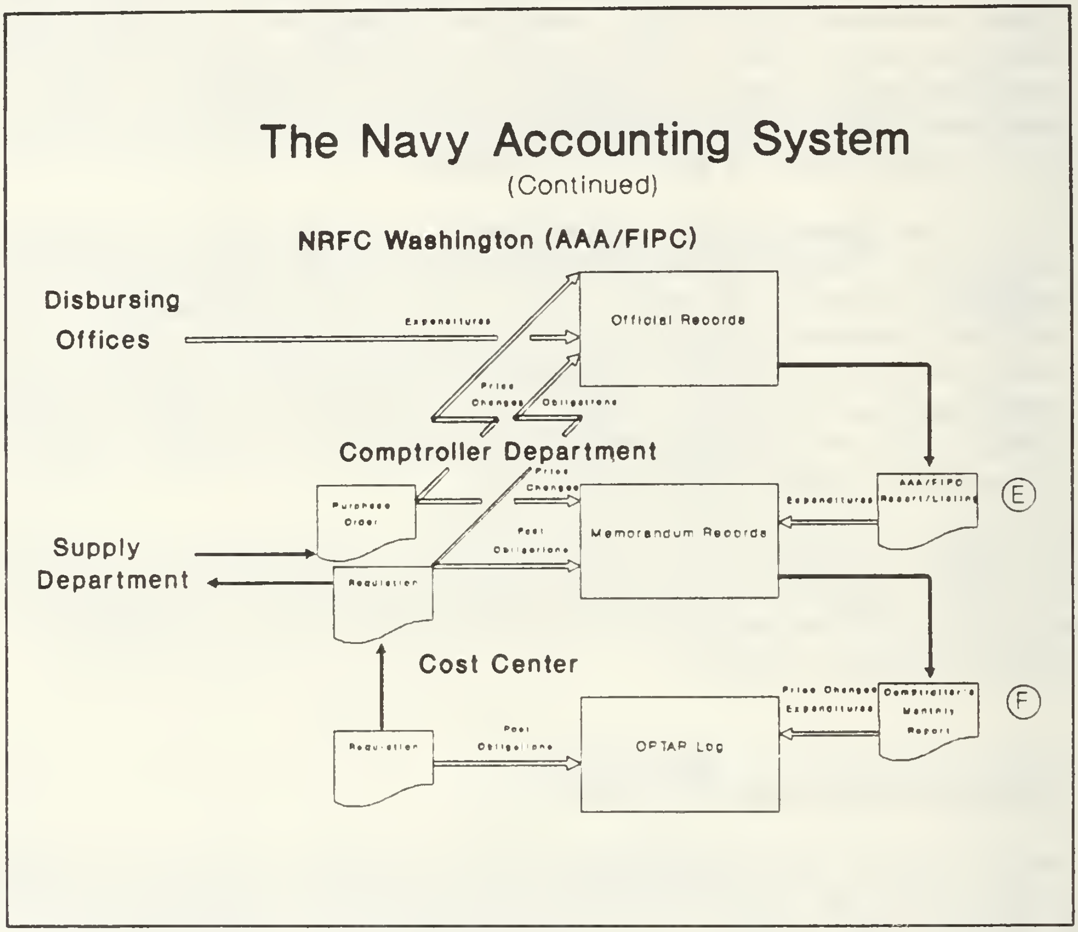

The Navy Accounting System
(Continued)
NRFC Washington (AAA/FIPC)
Disbursing Offices
Expenditures
Official Records
Price Changes
Obligations
Comptroller Department
Purchase Order
Price Changes
Post Obligations
Memorandum Records
Expenditures
AAA/FIPC Report/Listing
E
Supply Department
Requisition
Cost Center
Requisition
Post Obligations
OPTAR Log
Price Changes
Expenditures
Comptroller's Monthly Report
F

Figure 1.3 Reconciliation Process

Second, accounting reports provide a means of ensuring that obligations pos to the official records accurately and in a timely manner. Just as a person balancing a bank statement expects to have outstanding checks, the cost center c expect that recent obligations will not have posted to the Comptroller or FIPC records. Obligations that do not post in a reasonable amount of time should be researched.

Third, accounting reports serve as a means of identifying erroneous transactions, e.g., charged to the wrong activity, charged to the wrong job order number, double charges or incorrect amounts. The monthly report provides the feedback necessary to catch these errors.

Summary.

To facilitate efficient use of scarce financial resources, current and accurate accounting information is required at all levels of the Department of the Navy. This requirement for information demands that accounting records be maintained at three different levels. While local accounting records provide the manager with vital real time information, they also afford a means of ensuring that transactions are reported accurately into the official records. The official records, on the other hand, provide additional information needed to update the local records. The ability to conceptualize this interdependence of accounting records and the flow of information, is essential to understanding the Navy accounting system.

CHAPTER 2

RESOURCE MANAGEMENT SYSTEM ORGANIZATION and FUNDING PROCESS OVERVIEW

RMS Organization.

Introduction.

Funds within the Department of the Navy generally flow from the Comptroller of the Navy (NAVCOMPT) to the Fund Administering Activity (Figure 2.1). The Navy's Resource Management System (RMS) is designed to account for these funds and ensure efficient allocation in support of the Navy's mission. The system also affords a means of ensuring that monies entrusted for national defense are used in the manner prescribed by Congress. The following section provides a brief summary of the various organizations involved in the funding process, and their functions as they apply to the Naval Postgraduate School.

Who Does What and Why.

Administering Office - Field Support Activity (FSA).

The Field Support Activity (OP-09BF) is the Administering Office responsible for budgeting, accounting, and reporting to the Chief of Naval Operations (CNO) on fund allocations pertaining to various naval activities, including the Naval Postgraduate School. The FSA is the major claimant for NPS, and as such it controls the School's "purse-strings". Funding is provided to NPS in the form of an annual allotment.

Although NPS receives an annual allotment, the funds are actually apportioned on a quarterly basis. This allows the FSA to oversee the School's rate of spending. The FSA also monitors budget execution performance at the Naval Postgraduate School by comparing the financial performance data documented in the Financial Information Processing Center's (FIPC) official financial reports, to the fiscal year budget approved for NPS. Failure by NPS to adequately manage financial resources, or the perception of such a state as indicated by inaccurate FIPC reports, could result in a redistribution of funds to other competing organizations administered by OP-09BF; e.g., the U.S. Naval Academy and Naval War College. Legal proceedings may also result if funds are not properly managed.

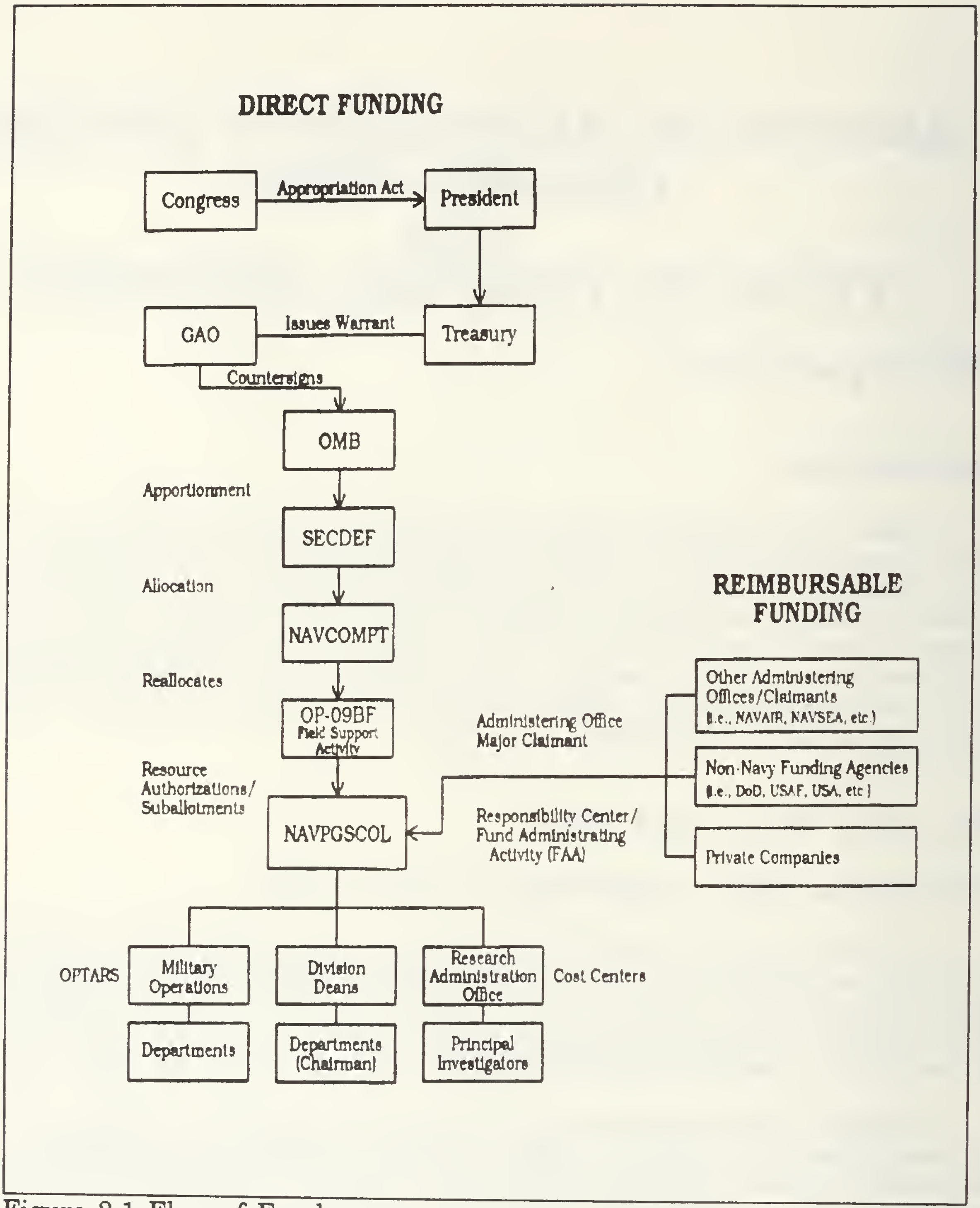

DIRECT FUNDING
Congress
Appropriation Act
President
Treasury
Issues Warrant
GAO
Countersigns
OMB
Apportionment
SECDEF
Allocation
NAVCOMPT
Reallocates
OP-09BF
Field Support Activity
Resource Authorizations/ Suballotments
NAVPGSCOL
Administering Office Major Claimant
Responsibility Center/ Fund Administrating Activity (FAA)
REIMBURSABLE FUNDING
Other Administering Offices/Claimants (i.e., NAVAIR, NAVSEA, etc.)
Non-Navy Funding Agencies (i.e., DoD, USAF, USA, etc.)
Private Companies
OPTARS
Military Operations
Departments
Division Deans
Departments (Chairman)
Research Administration Office
Principal Investigators
Cost Centers

Figure 2.1 Flow of Funds

Fund Administering Activity (FAA)/Responsibility Center - Naval Postgraduate School.

In RMS terminology, the Naval Postgraduate School is a Fund Administering Activity. ("Fund Administering Activity" has replaced the former RMS term, "Responsibility Center".) NPS is headed by a naval officer, the Superintendent, who is responsible for the management of the School's financial resources. As such, the Superintendent could be subject to legal proceedings/ disciplinary action if federal laws, with respect to proper financial management, are violated.

In practical terms, the Superintendent delegates authority to the NPS Comptroller to manage the School's finances. As such, the Comptroller functions as "*an Assistant to the Superintendent, for duties which include developing, coordinating, and maintaining an integrated staff service in the financial management area which will provide the Superintendent the factual data essential for effective management control.*" The duties and responsibilities of the Comptroller Department include:

1. Translating NPS program requirements into a financial plan.
2. Formulating the NPS budget.
3. Comparing program performance with the financial plan, and determining where reprogramming of finances may be required.
4. Acting as liaison with the Chief of Naval Operations/Field Support Activity (OP-09BF) and NPS's Authorizing Accounting Activity/Financial Information Processing Center (AAA/FIPC), on accounting matters relating to the School's budget and assigned funds.
5. Maintaining memorandum accounting records for all funds assigned to the Superintendent, and forwarding all obligation documents to the AAA/FIPC.
6. Introduction of obligation/expense transactions into the AAA/FIPC database.
7. Performing timekeeping and payroll functions for civilian personnel employed at NPS.

In addition to the responsibilities listed above, the Comptroller is also responsible for providing the cost centers with financial management policy guidance, disseminating information related to financial matters, and collecting and processing accounting documents.

Part I Financial Management Overview

The structure of the NPS Comptroller Department is illustrated in Appendix C - Organizational Charts.

Cost Centers/Sub Cost Centers - NPS Departments.

Cost centers/sub-cost centers are subdivisions of a Fund Administering Activity. At NPS, cost centers and sub-cost centers are those departments which receive a portion of the School's normal operating funds. These funds are known a an "Operating Target" or "OPTAR".

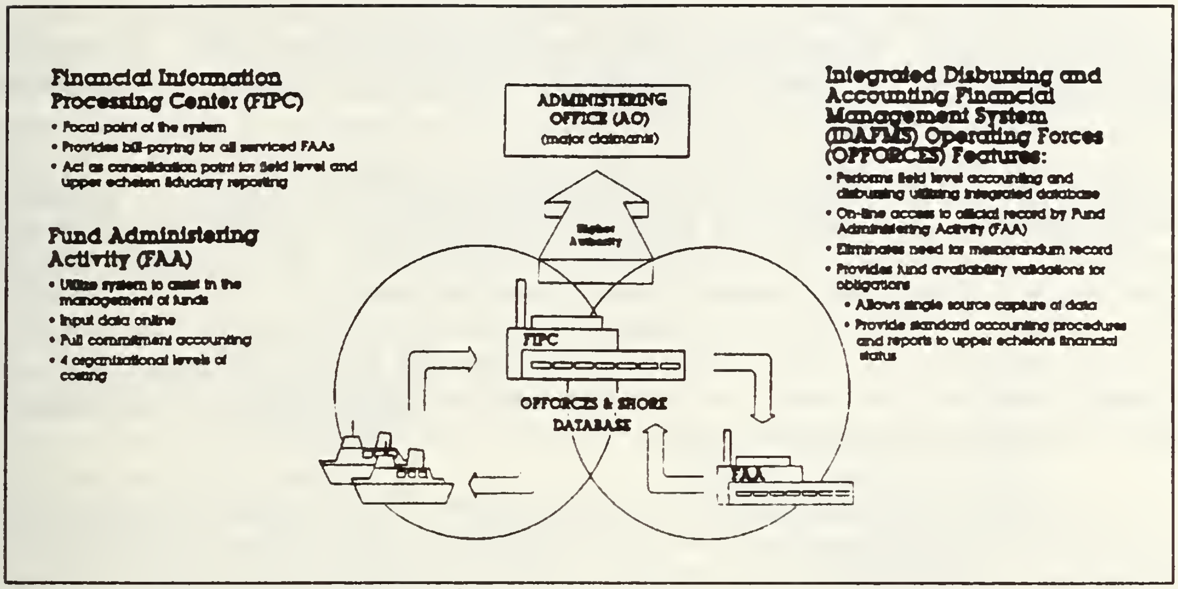
Note: While cost centers are headed by line managers, i.e., Director of Programs (Code 03), Director of Military Operations (Code 04), Dean of Information and Policy Sciences Code 05), Dean of Science and Engineering (Code 06); and sub-cost centers are the various departments working beneath the line managers, for simplicity both will be referred to as "cost centers".

While the Comptroller is responsible for providing the cost centers with information, guidance and administrative support; the cost centers have a reciprocal responsibility to the Comptroller to provide obligation and budgeting information. This includes submitting accurate and timely source documents for the purchase of supplies, travel, and labor; as well as reconciling cost center accounting records and providing inputs to support the School's budget plan. Cost centers must also properly manage their financial resources, and exercise controls to stay within the limits established by the Comptroller and Superintendent.

Authorization Accounting Activity/Financial Information Processing Center (AAA/FIPC) - Navy Regional Finance Center (NRFC), Washington D.C.

The Navy Regional Finance Center (NRFC), Washington, D.C., is the AAA/FIPC for the Naval Postgraduate School. The AAA/FIPC provides bill paying and accounting services, performs civilian employee payroll functions, maintains the School's financial database, and provides periodic official accounting/financial management reports to NPS and its major claimant, the FSA (OP-09BF).

Obligations incurred by NPS are entered into the Navy's official accounting system by means of computer terminals located in the offices of the NPS Comptroller. These remote terminals use a database system, known as "WESTI" (Westinghouse), to input obligations directly into the automatic data processing (ADP) hardware at the FIPC.



Financial Information Processing Center (FIPC)

- Focal point of the system
- Provides bill-paying for all serviced FAAs
- Act as consolidation point for field level and upper echelon fiduciary reporting

Fund Administering Activity (FAA)

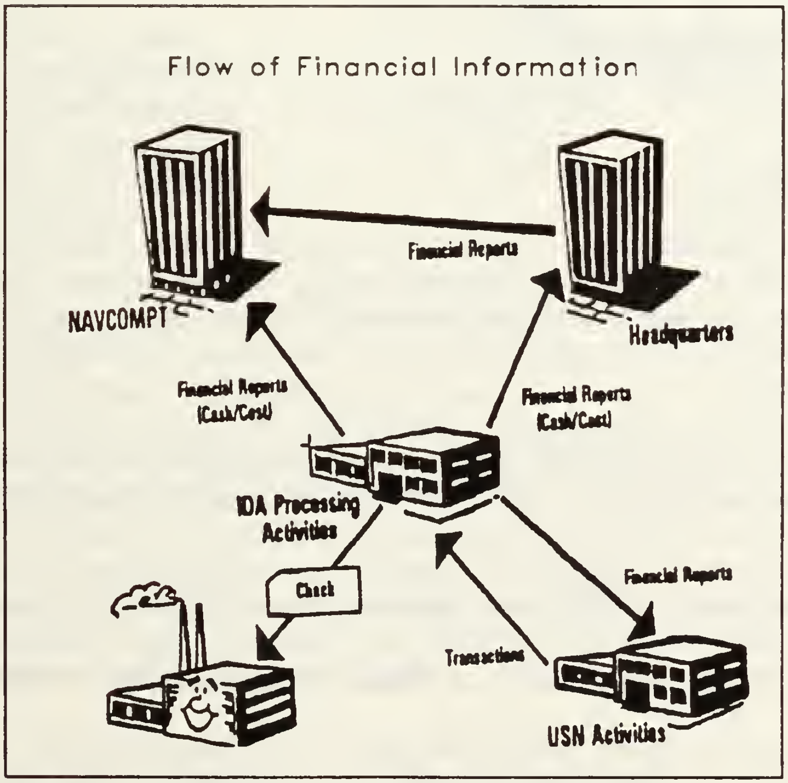
- Utilize system to assist in the management of funds
- Input data online
- Full commitment accounting
- 4 organizational levels of costing

Integrated Disbursing and Accounting Financial Management System (IDAFMS) Operating Forces (OPFORCES) Features:

- Performs field level accounting and disbursing utilizing integrated database
- On-line access to official record by Fund Administering Activity (FAA)
- Eliminates need for memorandum record
- Provides fund availability validations for obligations
  - Allows single source capture of data
  - Provide standard accounting procedures and reports to upper echelons financial status

ADMINISTERING OFFICE (AO)
(major claimants)
Higher Authority
FIPC
OPFORCES & SHORE DATABASE
FAA

Figure 2.2 IDAFMS: Flow of Information



Flow of Financial Information
NAVCOMPT
Financial Reports
Headquarters
Financial Reports (Cash/Cost)
Financial Reports (Cash/Cost)
IDA Processing Activities
Check
Financial Reports
Transactions
USN Activities

Figure 2.3 Flow of Financial Information

The concept of integrated data processing equipment tied directly to field activities by means of remote terminals, is the Integrated Disbursing and Accounting Financial Management System (IDAFMS) (Figure 2.2). It is also referred to as the Integrated Disbursing and Accounting Resource Management System (IDARMS), pronounced "Ida-Rims".

Although obligation data is entered into the FIPC's database via the School's remote terminals, the FIPC does not disburse funds to a vendor based upon this information. The invoice and supporting documentation, showing that the goods or services were ordered and received, must also be provided. Once the certified invoice arrives at the FIPC, it is validated against pre-established review criteria and, if everything is in order, a check is sent to the supplier (Figure 2.3). The accounting data on the invoice is then matched to the previously established obligation and the expenditure is recorded into the IDARMS.

A monthly series of official accounting reports and transaction listings are generated by the FIPC and sent to the NPS Comptroller. The NPS OPBUD and Reimbursable Account divisions, condense the information contained in these financial reports/listings and then distribute their own reports to the cost centers. Cost centers use the monthly NPS reports, i.e., Monthly OPTAR Report and Reimbursable Report, to reconcile their books.

The Funding Process.

Introduction.

A detailed discussion of the Department of Defense budgetary process, and its relationship to the allocation of Federal funds, is well beyond the scope of this accounting guide. A brief overview, however, should help you to understand the process by which the Navy and, ultimately, the Naval Postgraduate School receives its operating funds.

This section explains how funding requirements are determined, how the funds are provided, and the types of appropriations typically encountered at NPS.

The Big Picture - Where Does the Money Come From?

The Planning, Programming, and Budgeting System (PPBS).

The need for military programs, and the estimated funds to support them, are developed within a Department of Defense management system known as the Planning, Programming, and Budgeting System (PPBS). The PPBS is concerned primarily with the management of resources to meet strategic needs. In a "nutshell", the PPBS develops a strategy based upon the anticipated threat to national security. The strategy requirements are determined, and programs are then developed to execute the strategy and counter the threat. A budgeting process estimates the funds necessary to support the programs and submits proposals to the Secretary of Defense for approval. Approved programs from the various Service Departments, i.e., Army, Navy, and Air Force, form the DOD budget submission which is incorporated into the President's budget and presented to Congress annually.

When Congress receives the President's annual budget request, a Congressionally adopted Budget Resolution is developed, which provides Congress with fiscal guidance for the upcoming year. This fiscal guidance is used by a group of committees, known as Authorizing Committees, to legally authorize Federal programs and set maximum program spending levels. (Authorizations do not permit program spending; but authorizations must be in place before money can be appropriated for the program.) The authorizing legislation for the Department of Defense is prepared by the House and Senate Armed Services Committees.

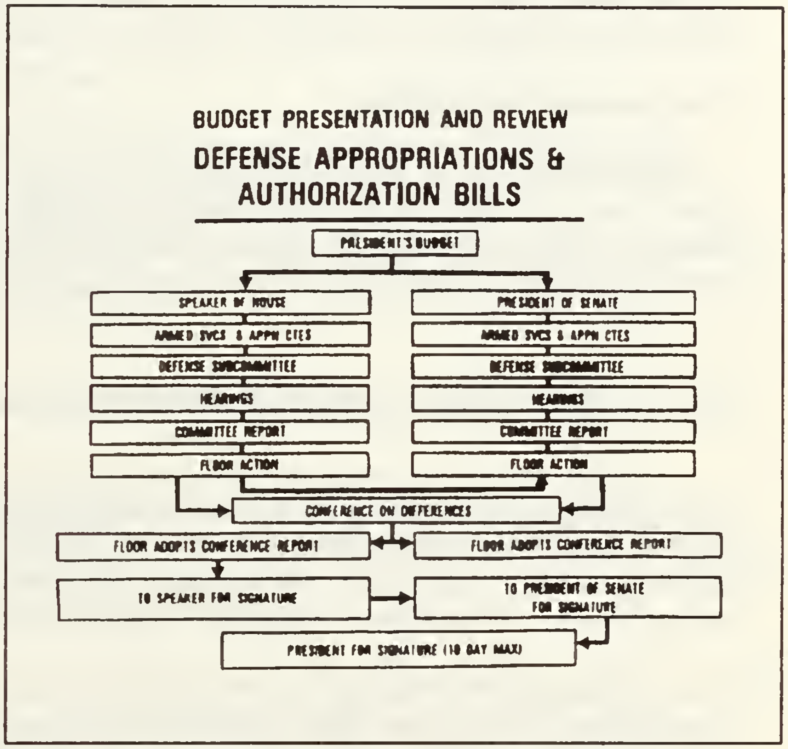

BUDGET PRESENTATION AND REVIEW
DEFENSE APPROPRIATIONS & AUTHORIZATION BILLS
PRESIDENT'S BUDGET
SPEAKER OF HOUSE
PRESIDENT OF SENATE
ARMED SVCS & APPN CTES
ARMED SVCS & APPN CTES
DEFENSE SUBCOMMITTEE
DEFENSE SUBCOMMITTEE
HEARINGS
HEARINGS
COMMITTEE REPORT
COMMITTEE REPORT
FLOOR ACTION
FLOOR ACTION
CONFERENCE ON DIFFERENCES
FLOOR ADOPTS CONFERENCE REPORT
FLOOR ADOPTS CONFERENCE REPORT
TO SPEAKER FOR SIGNATURE
TO PRESIDENT OF SENATE FOR SIGNATURE
PRESIDENT FOR SIGNATURE (10 DAY MAX)

Figure 2.4 Defense Appropriations Bills

Once programs have been authorized, appropriation legislation for the Department of Defense is prepared by the Defense Subcommittees of the House and Senate Appropriation Committees. Appropriation legislation provides funds for Federal programs and may be less than, or equal to, the maximum amount established by the program's authorization. (Even if a program has been authorized, it cannot spend money unless the funds have been appropriated.) Appropriation legislation is signed by the President and becomes a public law (refer to Figure 2.4). When people refer to a budget as being "approved", or "passed", they are usually referring to the particular Appropriations Act. Appropriation legislation for the Department of Defense is known as the "Department of Defense Appropriations Act".

Special Situations.

Sequestration.

The Gramm-Rudman-Hollings Act of 1985 established special procedures to enforce maximum deficit amounts for fiscal years 1988 through 1993. In short, the Congressional and Administration budget offices independently estimate the deficit for the upcoming fiscal year; if the estimated deficit is expected to exceed the established maximum deficit amount by more than $10 billion, the President must issue an order t reduce spending, or cancel budgetary resources, as required. This order would become effective on October 1, the start of the new fiscal year.

Continuing Resolution.

If Congress has not passed the Appropriations Act before the beginning of the new fiscal year, a Continuing Resolution is normally passed to provide continued funding of Federal programs until the Appropriations Act is passed. This usually entails maintaining spending levels at the previous years rates with no new program starts.

The Big Picture - Sharing the Wealth.

Once the Appropriation Act is enacted by Congress and signed by the President, appropriations pertaining to defense are apportioned to the Defense Department and then re-apportioned to the Department of the Navy. Annual appropriations are apportioned on a quarterly basis, while multi-year appropriations are apportioned on a annual basis. This allows Congress to closely track DOD spending levels.

After appropriations have been apportioned to the Secretary of the Navy, the Comptroller of the Navy (NAVCOMPT) allocates funds to major claimants, or "Administering Offices", for obligation at the field level. Allocations to the major claimants are further distributed to field activities, i.e., the FAA, as allotments. Each allotment is received by the FAA on a NAVCOMPT Form 2168-1 "Resource Authorization" (Figure 2.5).

Allotments issued to an FAA might be for a specific mission or for general operations, depending upon the allotment's specific purpose. Each allotment's funds must be separately accounted for.

The final distribution of funds is known as an Operating Target. Operating Targets redistribute the FAA's allotment to the cost centers, and provide funds for the cost centers' daily operations.

Note: Prior to fiscal year 1989, allotments were provided to obligate and expend funds for very specific functions. Funds designated for general operations were provided as Operating Budgets (OPBUD). The term Operating Budget has since been eliminated and allotments now refer to any appropriated funds distributed to a Fund Administering Activity.

Different Types of Money?

Department of the Navy Appropriations.

Congress provides appropriations to the Secretary of Defense (SECDEF) who redistributes the funds to the various Service Departments. The Department of the Navy has eleven major appropriations divided into two categories; Expense Appropriations and Investment Appropriations. The two appropriation types most likely to be encountered by NPS cost center personnel are: Operations and Maintenance, Navy (O&M,N), and Other Procurement, Navy (OPN).

Expense Type Appropriation - Operations and Maintenance, Navy (O&M,N).

Expense type appropriations finance the cost of ongoing operations; e.g., materials, base operations, civilian payroll, maintenance of property, training, service, repairs, etc. NPS uses O&M,N appropriations to finance daily operational needs and the majority of its Navy research projects.

The appropriation symbol for O&M,N funds, found on funding authorization documents and used in O&M,N accounting classification codes, is: 17_1804.

Investment Type Appropriation - Other Procurement, Navy (OPN).

Investment type appropriations provide funds for purchasing items or systems with a unit value of $15,000 or more. If an item consists of sub-components, and these sub-components are necessary for the item to function properly, then this would be considered a system. O&M,N funds may not be used to purchase the components of a system, where the total cost of the system would exceed $15,000. The system must be financed with OPN funds. NPS uses OPN appropriations primarily to finance the procurement and modernization of equipment; e.g., large computer systems, vehicles, etc.

Typically, NPS cost center personnel will not be involved with OPN appropriations. They may, however, encounter OPN appropriations for large departmental purchases. The OPN appropriation symbol is: 17_1810.

Appropriated Fund Terminology.

Expense and Investment Appropriations may be further categorized into Obligational Availability Periods; with funding being provided on an incremental or fully funded basis. To better understand Navy appropriations, cost center personnel should be familiar with the following terms regarding appropriated fund status and funding time constraints:

Obligation Availability Period (OAP).

An Obligational Availability Period is a period of time allowed to obligate funds. This is very different from expending funds. For example, when an order is placed with a vendor funds are obligated; i.e., a legal obligation exists to pay the vendor when the service is provided or the item is received. After receipt of the item or service, a charge is made against available funds and the funds become expended. Therefore, as long as an order is placed during the OAP, and it conforms to Government regulations, the order is a legal obligation of funds, not an expenditure.

The Obligation Availability Period for O&M,N appropriations is generally one year. The OAP for OPN appropriations is usually three years.

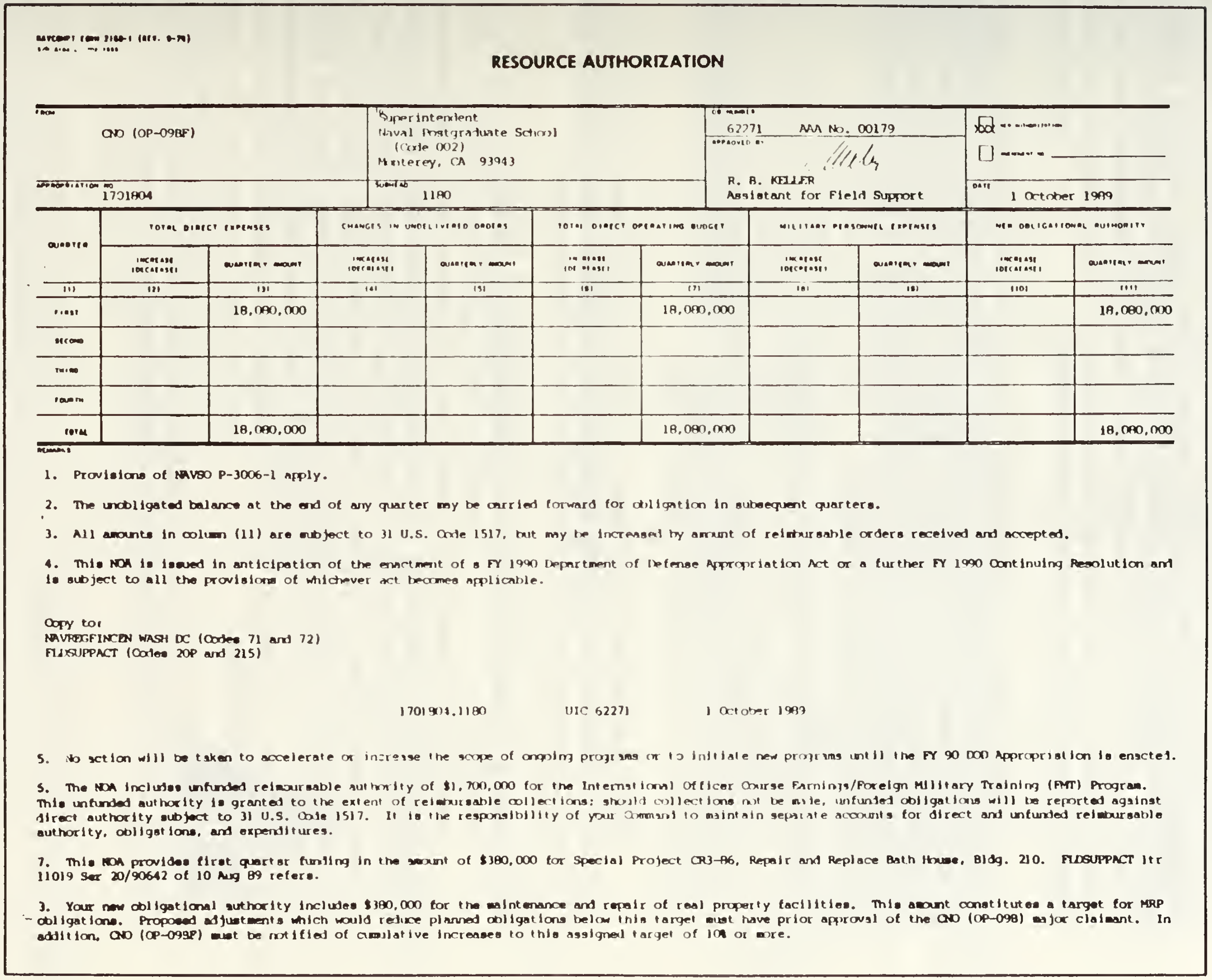
Expenditure Availability Period (EAP).

Once the OAP ends, an appropriation becomes an Expired Appropriation and funds from that appropriation may no longer be obligated. Following the OAP, however, a two year Expenditure Availability Period (EAP) exists, which allows the liquidation (expenditure) of outstanding obligations. The EAP applies to all appropriations.

With respect to accounting procedures; if an OAP lasts for one year, which is generally the case for cost center funds, and the EAP lasts for another two years - then accounting ledgers must usually be maintained for a total of three years.

Lapsed Appropriation.

After the Expenditure Availability Period, the appropriation becomes a Lapsed Appropriation. Outstanding obligations from a Lapsed Appropriation may no longer be disbursed in the normal manner.



NAVCOMPT FORM 2168-1 (REV. 9-79)

RESOURCE AUTHORIZATION

FROM: CNO (OP-09BF)

TO: Superintendent
Naval Postgraduate School
(Code 002)
Monterey, CA 93943

62271 AAA No. 00179

APPROVED BY:
R. B. KELLER
Assistant for Field Support

☒ NEW AUTHORIZATION

☐ AMENDMENT NO. ______

APPROPRIATION NO: 1701804

SUBHEAD: 1180

DATE: 1 October 1989

QUARTER	TOTAL DIRECT EXPENSES		CHANGES IN UNDELIVERED ORDERS		TOTAL DIRECT OPERATING BUDGET		MILITARY PERSONNEL EXPENSES		NEW OBLIGATIONAL AUTHORITY	
	INCREASE (DECREASE)	QUARTERLY AMOUNT	INCREASE (DECREASE)	QUARTERLY AMOUNT	INCREASE (DECREASE)	QUARTERLY AMOUNT	INCREASE (DECREASE)	QUARTERLY AMOUNT	INCREASE (DECREASE)	QUARTERLY AMOUNT
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
FIRST		18,080,000				18,080,000				18,080,000
SECOND										
THIRD										
FOURTH										
TOTAL		18,080,000				18,080,000				18,080,000

REMARKS

1. Provisions of NAVSO P-3006-1 apply.

2. The unobligated balance at the end of any quarter may be carried forward for obligation in subsequent quarters.

3. All amounts in column (11) are subject to 31 U.S. Code 1517, but may be increased by amount of reimbursable orders received and accepted.

4. This NOA is issued in anticipation of the enactment of a FY 1990 Department of Defense Appropriation Act or a further FY 1990 Continuing Resolution and is subject to all the provisions of whichever act becomes applicable.

Copy to:
NAVREGFINCEN WASH DC (Codes 71 and 72)
FLDSUPPACT (Codes 20P and 215)

1701904.1180 UIC 62271 1 October 1989

5. No action will be taken to accelerate or increase the scope of ongoing programs or to initiate new programs until the FY 90 DOD Appropriation is enacted.

5. The NOA includes unfunded reimbursable authority of $1,700,000 for the International Officer Course Earnings/Foreign Military Training (FMT) Program. This unfunded authority is granted to the extent of reimbursable collections; should collections not be made, unfunded obligations will be reported against direct authority subject to 31 U.S. Code 1517. It is the responsibility of your Command to maintain separate accounts for direct and unfunded reimbursable authority, obligations, and expenditures.

7. This NOA provides first quarter funding in the amount of $380,000 for Special Project CR3-86, Repair and Replace Bath House, Bldg. 210. FLDSUPPACT ltr 11019 Ser 20/90642 of 10 Aug 89 refers.

3. Your new obligational authority includes $380,000 for the maintenance and repair of real property facilities. This amount constitutes a target for MRP obligations. Proposed adjustments which would reduce planned obligations below this target must have prior approval of the CNO (OP-098) major claimant. In addition, CNO (OP-098P) must be notified of cumulative increases to this assigned target of 10% or more.

Figure 2.5 NAVCOMPT Form 2168-1: Resource Authorization

Successor "M" Account.

Obligated balances from lapsed appropriations accounts transfer/merge to the appropriations Successor "M" Account. These funds lose their fiscal year identity for expenditure purposes and remain available indefinitely. Funds whic transfer to the "M" account usually result from poor accounting and reconciliatio practices; where outstanding obligations have not been adequately tracked or cancellations of orders have not been reported.

Obligations transferred to the Successor "M" Account receive high level attention, as Government funds are tied up for an indefinite period of time. Consistent transfers of funds to the Successor "M" Account represent poor financial management practices, and as such, could result in the major claimant (OP-09BF) reducing NPS funding levels. Remember to track the status of your obligations and avoid the limelight!

Incremental/Fully Funded Appropriations.

An incremental appropriation means that Congress must vote each yea to approve funds for a particular program. O&M,N appropriations are usuall provided on an incremental (annual) basis.

Fully funded appropriations are funds appropriated during one fiscal year for a program or project expected to last for several years. OPN appropriations may be fully funded for up to three years.

Accounting Classification/Local Management Codes.

Accounting Classification and Local Management Codes are used on purchase request, obligation and expenditure documents; and provide a means of accumulating, tracking and reporting financial/accounting information by purpose and location. In other words, the codes define why money was spent and who spent it. For example; a Job Order Number, which at NPS is comprised of a five letter code, may be used to identify accrued expenses by sub-cost center, as well as provide information regarding the purpose of the obligation/expenditure.

Further information on Accounting Classification and Local Managemen Codes is contained in Chapter 4 - Coding Systems.

CHAPTER 3

FUND MANAGEMENT AT THE NAVAL POSTGRADUATE SCHOOL

Introduction.

Funds come to NPS in two ways: through direct appropriations and through reimbursable orders. In direct appropriation; i.e., O&M,N, OPN, etc., funds are allocated to NPS directly from the major claimant (OP-09BF). Reimbursable funds, on the other hand, might be funds originally appropriated for other Navy or government organizations, or they might be funds provided by private companies (Figure 3.2). Regardless of the source, reimbursable funds represent a lateral transfer of monies to NPS for the purpose of completing a project or service not normally funded by OP-09BF. Because of the nature of direct and reimbursable funding, each must be managed differently. This chapter provides an overview of the legal implications regarding fund management, as well as some insight into the nature and management of direct and reimbursable funds.

Legal Aspects of Fund Management.

The laws pertaining to appropriated funds are contained in a group of statutes under U.S. Code Title 31 (collectively referred to as the "Anti-Deficiency Act"); as well as U.S.C. Title 31 Sections 1301 (a) and 1517. In short, appropriations have three primary limits: purpose, time and dollar. Any violation of these limits is a serious offense. Persons violating the law could be subject to disciplinary actions, which may include suspension without pay or removal from office. Knowing, or willful, violations of Section 1517 may result in criminal penalties of a fine up to $5,000 or imprisonment for not more than two years, or both.

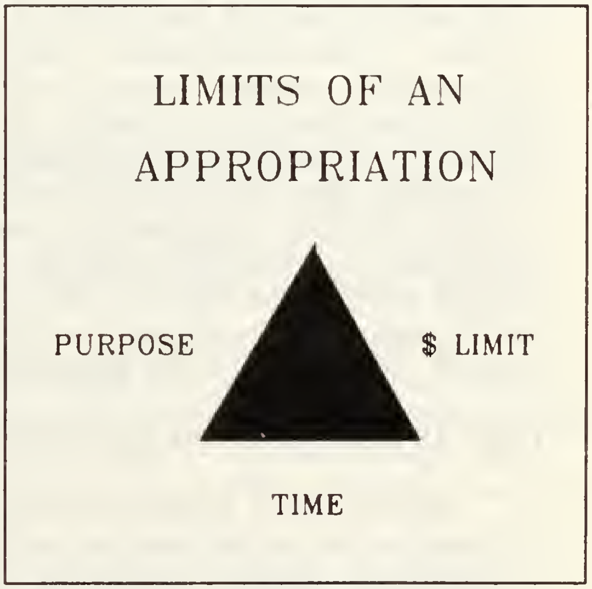


Figure 3.1 Appropriation Limits

The lowest level holding Title 31 responsibility is the Fund Administering Activity; e.g., the Superintendent of the Naval Postgraduate School. Operating Targets issued to departments (cost centers) do not carry direct Title 31 responsibility, as OPTARs are considered administrative limitations rather than legal limitations. This statement, however, should not be construed to mean that cost center violations of Title 31 are inconsequential. Consistent failure of personnel to maintain their accounts within the prescribed limits is cause for disciplinary action or dismissal from office.

Violations of the Anti-Deficiency Act may occur for a variety of reasons including: accounting errors leading to actual over-obligation or over-expenditure, transferring funds between accounts, failure to post obligations to accounting records, and delays in posting transactions to the accounting records. If a violation does occur, a violation report must be forwarded to the Comptroller of the Navy. NAVCOMPT will then draft a report for transmission to the President, via the Department of Defense and Office of Management and Budget (OMB). Copies of the report are also forwarded to the President of the Senate and Speaker of the House of Representatives.

Title 31 U.S. Code Section 1301 (a).

Section 1301 (a) requires that appropriated funds be used only for purposes for which the appropriation was made. The law states, *"Appropriations shall be applied only to the objects for which the appropriations were made except as otherwise provided by law".*

Currently, there is no reporting requirement for violations of Section 1301 (a); however, if funds from one appropriation account have been spent on items which should have been funded from a different appropriation, then adjustments must be made to the accounting records of both appropriations. This would entail crediting the amount of the expenditure to the appropriation account from which funds were incorrectly expended and debiting the other appropriation account by the same amount. If the adjustments result in an over-obligation or over-expenditure of an appropriation account, then a violation of Section 1517 has occurred and a violation report must then be prepared. As an example, if a computer system costing $15,000 is purchased with O&M,N (expense type funds), rather than with OPN (investment type funds) as it should have been, a violation of Title 31 Section 1301 (a) has occurred. Adjustments must be made to the two accounts when the error is discovered, i.e., $15,000 must be credited to the O&M,N account and $15,000 debited against the account for OPN. If the purchase was not budgeted for, and insufficient OPN funds are available to finance the purchase, then a violation of Title 31 Section 1517 has occurred, and a violation report must be submitted.

Title 31 U.S. Code Section 1517.

Section 1517 prohibits authorizing an obligation in excess of the amount available in an appropriation (or subdivision thereof) or in excess of the amount permitted by agency regulations. This law pertains to the total obligated authority, i.e., spending limits, specified in the Resource Authorization (NAVCOMPT Form 2168-1) provided to the Naval Postgraduate School by the FSA (OP-09BF). Over-obligation of reimbursable funds could result in a violation of Section 1517 in that, if the provider of the reimbursable funds refused to cover the over-obligation, NPS would be forced to cover the over-obligation with its own direct funds. This, in turn, might force NPS to exceed its direct spending authority.

Anti-Deficiency Act: Title 31 U.S. Code Sections 1341, 1349-1350; 1512-1514, 1517-1519.

The principal provisions of the Anti-Deficiency Act are as follows (note the Anti-Deficiency Act also includes Section 1517):

1. Prohibits any officer or employee from making or authorizing an obligation in excess of the amount available in an appropriation.
2. Persons causing a violation may be subject to discipline including suspension without pay or removal from office. If the violation is done knowingly, or willfully, that person may be subject to criminal penalties of a fine up to $5000, or imprisonment for two years, or both.
3. Forbids the involvement of the Government in any contract, or obligation, to pay money in advance of an appropriation.
4. Requires the head of an agency to issue regulations establishing an administrative control system. The system must keep obligations within the amount of the allotment and enable the agency to fix the responsibility for making obligations in excess of the appropriated/allotted amount.

Direct Funds.

Direct appropriated funds obtained from the major claimant represent the largest source of funding available to NPS. While the majority of this money is used to finance day to day operations, a significant portion is also designated to support the School's various research efforts. NPS direct funds are categorized, therefore, as either Operating Funds (OPTAR) or Direct Funded Research (DFR).

Academic departments with approved research projects receive a Direct Funded Research and an Indirect Support account. The Direct Funded Research account is subdivided between the research projects according to their approved level of funding. The Indirect Support account is compensation to the department for providing additional support to the research projects, such as office supplies, use of equipment, and the services of support personnel.

NPS civilian labor is funded from all three pots of money; i.e., Operating Funds, Direct Research, and Indirect Support. Since accounting for civilian labor is centrally managed by the Comptroller Department, labor dollars are withheld before allocation of direct funds is made to the departments/cost centers.

Part I Financial Management Overview

The allocation and management of NPS Operating Funds, Direct Funded Research and Indirect Support funds is as follows:

1. **Operating Funds.** Allocation of cost center operating funds (OPTARs) is determined by the NPS Resources Planning Board, and based primarily on the requirements identified in the cost centers' budget submissions. The Comptroller allocates funds to Deans and Line Managers (cost centers), who further allocate funds to their sub-cost centers, e.g., the Dean of Information and Policy Sciences (a line manager) would reallocate funds to the Department of Computer Science, Department of Administrative Science (sub-cost centers), etc. The Comptroller opens individual accounts for each sub-cost center, and provides the sub-cost centers with an authorization indicating total funds available, quarterly allocations, and travel ceilings.

Figures 3.6 and 3.7 provide examples of cost/sub-cost center funding documents. Note that Figure 3.6 represents a reimbursable research account, while Figure 3.7 represents direct operating funds.

2. **Direct Funded Research.** The mission of the Naval Postgraduate School, as defined by the Secretary of the Navy, is:

" To conduct and direct the advanced education of commissioned officers and to provide such other technical and professional instruction as may be prescribed to meet the needs of the Naval Service; and in support of the foregoing, to foster and encourage a program of research in order to sustain academic excellence."

As evidenced by this statement, a strong research program is considered an indispensable component of advanced education.

In the past, teaching at NPS was funded with O&M,N monies, while research projects received financing through the reimbursable funds made available by government agencies or private sponsors. Under this method, research funding was difficult to manage administratively; accounting was extremely complex; and funding levels were inconsistent. To ensure that future research projects received consistent funding, the Secretary of the Navy directed the Chief of Naval Operations to include NPS research program requirements in the Navy budgetary process. SECNAVINST 7040.12 states, in part:

" Changes to current procedures to finance academic research at the Naval Postgraduate School are required to ensure that sufficient funding is provided, to establish increased financial control, and to ensure that the program is responsive to the needs of the Secretary of the Navy (SECNAV), Chief of Naval Operations (CNO), and Commandant of the Marine Corps (CMC). Under current procedures, academic research sponsored by DON activities is being performed by the NAVPGSCOL on a reimbursable basis. In order to remove

the fiscal uncertainty inherent in this approach, we will begin to mission fund all such work through the school's Operation and Maintenance (O&M,N) operating budget effective FY 88. This new approach is consistent with the fact that academic research is an integral part of the academic curriculum and should therefore be funded as an element of the NAVPGSCOL's educational mission requirements. Some reimbursable activity in support of special programs and other DOD needs will be conducted... This policy will ensure that appropriate resource levels are applied in our budget in consonance with DOD directives."

Under direct funding, O&M,N funds provide the majority of support funds for Navy research projects at NPS. Both long and short range planning must be accomplished by the NPS administration, faculty, research sponsor, and major claimant (FSA/OP-09BF) to determine the size of the research program in the coming years; and the level of research which can be supported in any given year. Basically, this requires that NPS participate in the DOD budgeting process, and coordinate its research requirements with both the research sponsor, e.g., NAVAIRSYSCOM, etc., and resource sponsor/major claimant (FSA).

In order for NPS to manage its research efforts, a Letter of Intent (LOI) must be submitted by faculty members to the Research Administration Office (RAO), via the appropriate Department Chairman. The LOI, submitted in January, briefly declares faculty and department intent to submit research proposals for the upcoming fiscal year. Based on the LOIs, NPS determines the upcoming fiscal year levels of research for each research sponsor. Further information regarding the submission requirements for NPS research proposals may be found in NAVPGSCOLINST 3900.4.

As described later in this chapter, the Research Administration Office (RAO) was created to effectively manage research projects, while the Research Council was formed to review research proposals and determine appropriate allocations. When the annual appropriation for direct funded research is received by the Comptroller, the Research Council provides the RAO with approved research projects and an authorized amount of money for each project. The RAO then issues an authorization letter to the individual primarily responsible for controlling the project, known as the "Principal Investigator". This letter specifies the total funds available for the project and its quarterly allocations. As travel expenditures for research are restricted, the authorization also contains a travel ceiling.

Accounting procedures for cost center OPTAR and direct funded research are essentially the same. OPTAR and direct funded research obligation documents, however, require the use of separate cost/sub-cost center codes and serial numbers. Appendices E through H contain cost center OPTAR and DFR codes, as well as assigned document serial numbers. Further information on coding systems is contained in Chapter 4.

Note: Prior to 1 October, 1989, the RAO maintained its own set of accounting records for research funds, and distributed a monthly accounting report on research fund status. This report was one of two research accounting reports published by the School; the other being provided by the Comptroller. Due to timing differences between the reports, and frequent adjustments to obligations, the information contained in the reports frequently did not match. This created some confusion regarding which report cost centers should use to reconcile their accounting ledgers.

Since the beginning of FY90, the RAO has ceased maintaining separate accounting records for direct or reimbursably funded research projects, and has discontinued distribution of its accounting report. Currently, the RAO screens requests to obligate research funds, approves/ disapproves the request(s), and forwards the documents to the Comptroller Department for processing.

It is anticipated that the RAO will eventually be able to directly access the Comptroller's records, via computer, which will allow the RAO to obtain current research account information. This will enable the RAO to prepare accurate research accounting reports, specifically tailored to the needs of faculty members conducting research. It is envisioned that once the RAO system is on line, the Comptroller Department will discontinue publishing its reimbursable, and direct funded research reports.

3. **Indirect Support.** As explained earlier, Indirect Support funds are used to compensate academic departments for the additional support provided to professors conducting research. After labor dollars for research support personnel have been withheld by the Comptroller, the remaining balance in the account is distributed to the department chairmen for miscellaneous purchases.

Reimbursable Funds.

Reimbursable funds are obtained through an agreement or contract between NPS and a sponsoring activity, and differ from funds directly appropriated to NPS. The agencies, or research sponsors, providing the funds include branches of the Department of Defense, Government Contract Operated Facilities, civilian agencies, and in some cases, private sector companies and corporations (refer to Figure 3.2). Because the funds are designated for a specific project, and do not belong to NPS, they may not be mixed with other funds, or spent on items not specifically authorized by the agreement or contract.

To ensure that reimbursable funds are accounted for properly, cost centers must maintain separate accounting records for each reimbursable account authorized.

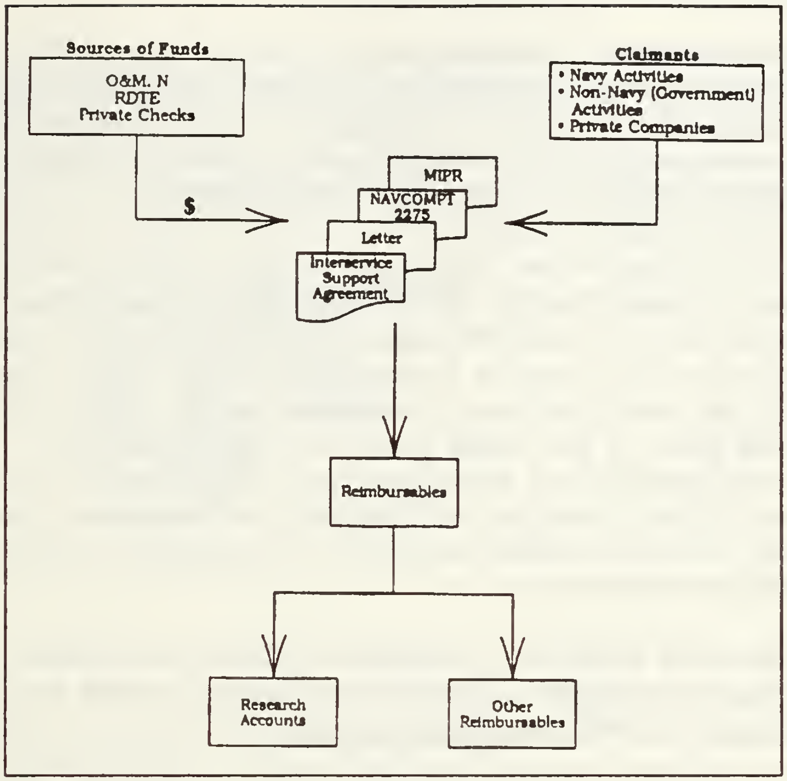

Sources of Funds
O&M. N
RDTE
Private Checks
Claimants
• Navy Activities
• Non-Navy (Government) Activities
• Private Companies
$
MIPR
NAVCOMPT 2275
Letter
Interservice Support Agreement
Reimbursables
Research Accounts
Other Reimbursables

Figure 3.2 Reimbursable Funding

Additionally, the spending of reimbursable funds must be in accordance with the requirements of the sponsor's original appropriation; i.e., reimbursable money provided by an O&M,N (expense type) appropriation may not be used for purchasing investment type items. If the original appropriations Obligational Availability Period (OAP) is one year, so is the OAP for the reimbursable funds.

The Comptroller receives reimbursable funds in several forms:

1. NAVCOMPT Form 2275 - Order For Work Or Services (for DON requests),

2. DD Form 448 - Military Interdepartmental Purchase Request (MIPR) (for other DOD components),

3. check, grant, or agreement.

NAVCOMPT Form 2275 and MIPRs (Figures 3.3 and 3.4) represent 99% of the documents transmitting reimbursable funds to NPS. The expiration of reimbursable funds varies depending on the source and type of funding. In any case, the agreement or funding document will clearly outline the conditions, amounts, and duration of funding.

Following acceptance of reimbursable funds by the NPS Comptroller (Figure 3.5), a memorandum is prepared to notify the department or faculty member, that funds are available for obligation. The "Granting of Funding Authorization" memorandum (Figure 3.6) provides the accounting data and alphanumeric job order number to be used with the account.

From the standpoint of the NPS cost center, there is little difference in the make up of direct or reimbursable accounting data. The primary difference is that all reimbursable job orders numbers begin with the letter "R", and each reimbursable job order is unique to a particular reimbursable account. (The letter "R" in the 5 digit job order number is preceded by the NPS Unit Identification Code (UIC), and the last digit of the fiscal year; e.g., 622710RCVYT.) It is important to remember that reimbursable job order numbers are assigned by the Reimbursable Accounts Division on the "Granting of Funding Authorization" memorandum. Cost centers do not use the code tables provided in Appendices E through H to assign job orders to reimbursable accounts.

Since all research funds are coordinated through the RAO, which involves a different chain of accountability, reimbursable accounts may be categorized as either Research Reimbursables or Other Reimbursables:

Note: It is important to stress that all reimbursable funds received by NPS do not apply to research - many are used for other purposes; e.g., Public Works, Family Housing, etc. Because of this, NPS separates reimbursables into two categories, "Research Reimbursables" and "Other Reimbursables". While "Other Reimbursables" occasionally have labor charges, labor must be accounted for separately with each reimbursable research accounts. Separating "Research" from "Other" reimbursables allows the Comptroller to more accurately track actual labor costs against the costs submitted on the research projects Budget Page.

One additional note - Do not confuse the "Other Reimbursable" category just mentioned, which refers to all reimbursable accounts other than research, with the "Other Reimbursable" category title and cost code found on the financial reports prepared by the Reimbursables Accounting Division. This latter "Other Reimbursables" is simply a group of miscellaneous accounts which do not fall under any major heading, e.g., Public Works, Housing, etc. Codes used by the Reimbursable Accounts Division to maintain accounting ledgers for reimbursable accounts and to code monthly financial reports are:

PW - Public Works Department
FH - Family Housing
RR - Reimbursable Research
NR - Navy Research
RM - Other Reimbursable
AC - Academic Services
DR - DRMEC
PR - PERSEREC
TU - Tuition

1. **Research Reimbursables.** While the majority of research at NPS is directly funded through O&M,N appropriations (DFR), a significant portion of the total research budget is also financed by reimbursable funding.

Reimbursable research projects can be initiated by a sponsoring activity, or they may be initiated by a professor or department suggesting research in a particular area. In either case, the process begins with the Research Proposal (Figures 3.8, 3.9, and 3.10).

After research requirements have been established, the Principal Investigator (a faculty member responsible for the research project) prepares and submits a Budget Page (Figure 3.11). The Budget Page provides an estimate of the project's total costs. After the project is approved by the Research Council, and accepted by the sponsoring activity, the sponsoring agency will then provide the necessary funds.

Requirements are the same regardless of whether the research project is funded with DFR or Reimbursable funds.

When the Comptroller receives the research funds, an account is opened and a reimbursable research job order number assigned. The reimbursable job order number is used to account for labor, travel, and equipment purchases. Unlike OPTAR funds, where labor costs are centrally managed by the Comptroller, the Principal Investigator is responsible for managing the labor dollars for his research project (refer to Figure 3.6). A copy of the authorizing document is forwarded through the RAO, and department Administrative Assistant, to the Principal Investigator.

2. **Other Reimbursables.** Other reimbursables represent all reimbursables other than research. This includes: Public Works projects, housing projects, agreements with tenant or area commands for support, tuition payments, and conference fees. When funding is received, the Comptroller assigns a job order number to the project and opens an account. Authorization to obligate funds is sent to the appropriate cost center on the "Granting of Funding Authorization" memorandum.

Key Research Personnel and Organizations.

The research process involves numerous NPS personnel. To help clarify the organizational relationships and responsibilities of the various persons and groups involved, the following information is provided:

Dean of Research.

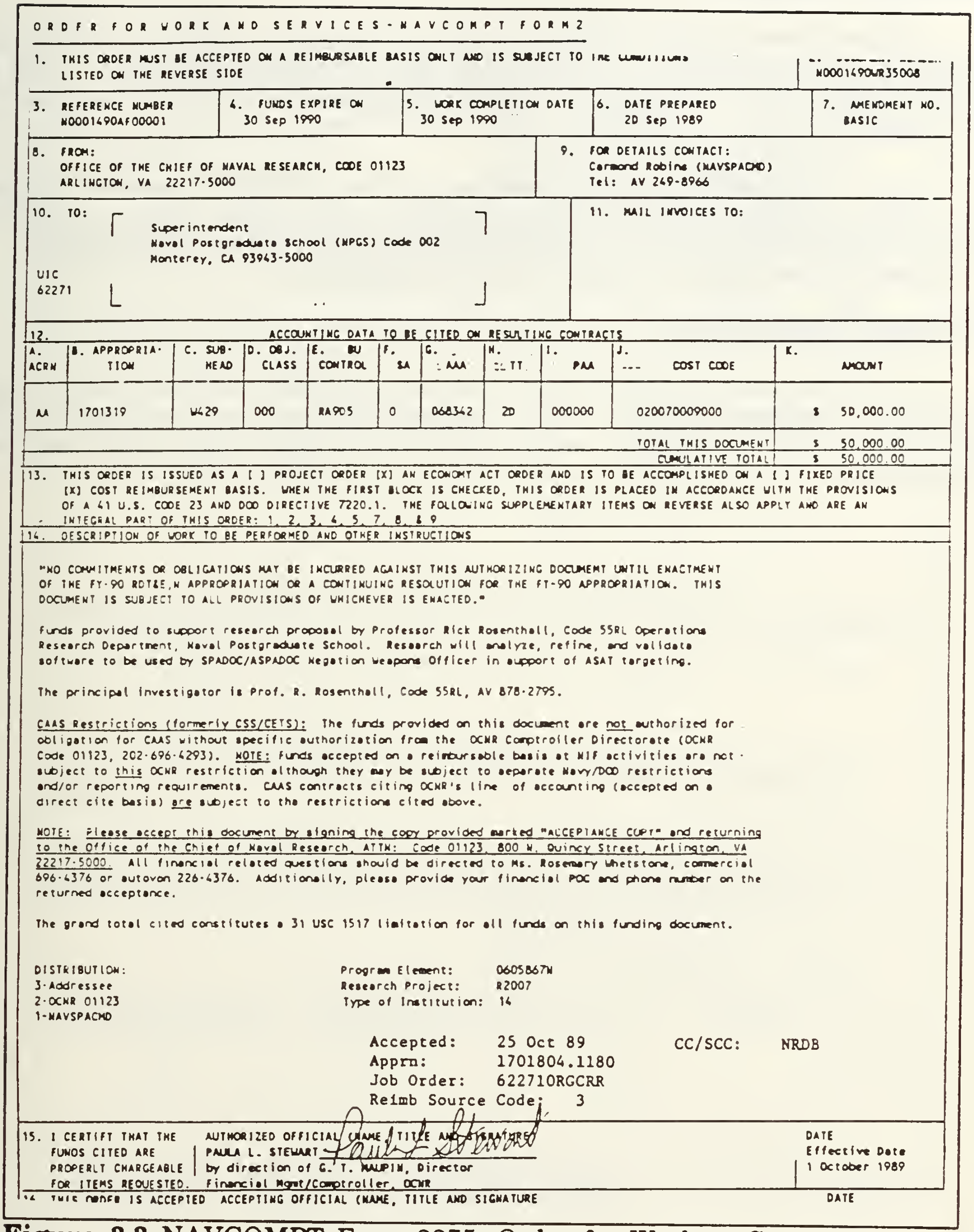
The Dean of Research is responsible for the administration of all research at the School. The Dean coordinates liaison with various outside research agencies, coordinates faculty research initiatives, supervises the staff of the Research Administration Office, and prepares and submits budget requirements. The Dean o Research reports to the Provost/Academic Dean and serves as Chairman on the Research Council.

Research Council.

The Research Council is composed of the Dean of Research, the Provost, the Director of Programs, Division Deans, the Chairman of the Faculty Research Committee, and six faculty members. The Council reviews all research proposals submitted by the faculty and determines the following: allocation of funds to faculty members, number and assignment of supporting personnel, and amount of equipment purchases to be supported by research funds.

Research Administration Office.

The Research Administration Office monitors and administers the School's overall research program. The RAO attempts to ensure that a project's total obligations do not exceed its available funding, and that all expenditures are specified on the project's Budget Page. The RAO maintains copies of all research proposals, Budget Pages, LOIs, proposal modifications, and Granting of Funding Authorization memorandums. All documents submitted to the Comptroller to obligate research funds must first be screened by the Research Accounting Office.



ORDER FOR WORK AND SERVICES-NAVCOMPT FORM 2

1. THIS ORDER MUST BE ACCEPTED ON A REIMBURSABLE BASIS ONLY AND IS SUBJECT TO THE CONDITIONS LISTED ON THE REVERSE SIDE

2. [illegible]
N0001490WR35008

3. REFERENCE NUMBER N0001490AF00001	4. FUNDS EXPIRE ON 30 Sep 1990	5. WORK COMPLETION DATE 30 Sep 1990	6. DATE PREPARED 20 Sep 1989	7. AMENDMENT NO. BASIC

8. FROM:
OFFICE OF THE CHIEF OF NAVAL RESEARCH, CODE 01123
ARLINGTON, VA 22217-5000

9. FOR DETAILS CONTACT:
Cermond Robins (NAVSPACMD)
Tel: AV 249-8966

10. TO:
Superintendent
Naval Postgraduate School (NPGS) Code 002
Monterey, CA 93943-5000
UIC
62271

11. MAIL INVOICES TO:

12. ACCOUNTING DATA TO BE CITED ON RESULTING CONTRACTS

A. ACRN	B. APPROPRIATION	C. SUBHEAD	D. OBJ. CLASS	E. BU CONTROL	F. SA	G. AAA	H. TT	I. PAA	J. COST CODE	K. AMOUNT
AA	1701319	W429	000	RA905	0	068342	2D	000000	020070009000	$ 50,000.00
									TOTAL THIS DOCUMENT	$ 50,000.00
									CUMULATIVE TOTAL	$ 50,000.00

13. THIS ORDER IS ISSUED AS A [ ] PROJECT ORDER [X] AN ECONOMY ACT ORDER AND IS TO BE ACCOMPLISHED ON A [ ] FIXED PRICE [X] COST REIMBURSEMENT BASIS. WHEN THE FIRST BLOCK IS CHECKED, THIS ORDER IS PLACED IN ACCORDANCE WITH THE PROVISIONS OF A 41 U.S. CODE 23 AND DOD DIRECTIVE 7220.1. THE FOLLOWING SUPPLEMENTARY ITEMS ON REVERSE ALSO APPLY AND ARE AN INTEGRAL PART OF THIS ORDER: 1, 2, 3, 4, 5, 7, 8, & 9

14. DESCRIPTION OF WORK TO BE PERFORMED AND OTHER INSTRUCTIONS

"NO COMMITMENTS OR OBLIGATIONS MAY BE INCURRED AGAINST THIS AUTHORIZING DOCUMENT UNTIL ENACTMENT OF THE FY-90 RDT&E,N APPROPRIATION OR A CONTINUING RESOLUTION FOR THE FY-90 APPROPRIATION. THIS DOCUMENT IS SUBJECT TO ALL PROVISIONS OF WHICHEVER IS ENACTED."

Funds provided to support research proposal by Professor Rick Rosenthall, Code 55RL Operations Research Department, Naval Postgraduate School. Research will analyze, refine, and validate software to be used by SPADOC/ASPADOC Negation Weapons Officer in support of ASAT targeting.

The principal investigator is Prof. R. Rosenthall, Code 55RL, AV 878-2795.

CAAS Restrictions (formerly CSS/CETS): The funds provided on this document are not authorized for obligation for CAAS without specific authorization from the OCNR Comptroller Directorate (OCNR Code 01123, 202-696-4293). NOTE: Funds accepted on a reimbursable basis at NIF activities are not subject to this OCNR restriction although they may be subject to separate Navy/DOD restrictions and/or reporting requirements. CAAS contracts citing OCNR's line of accounting (accepted on a direct cite basis) are subject to the restrictions cited above.

NOTE: Please accept this document by signing the copy provided marked "ACCEPTANCE COPY" and returning to the Office of the Chief of Naval Research, ATTN: Code 01123, 800 N. Quincy Street, Arlington, VA 22217-5000. All financial related questions should be directed to Ms. Rosemary Whetstone, commercial 696-4376 or autovon 226-4376. Additionally, please provide your financial POC and phone number on the returned acceptance.

The grand total cited constitutes a 31 USC 1517 limitation for all funds on this funding document.

DISTRIBUTION:
3-Addressee
2-OCNR 01123
1-NAVSPACMD

Program Element: 0605867N
Research Project: R2007
Type of Institution: 14

Accepted: 25 Oct 89
Apprn: 1701804.1180
Job Order: 622710RGCRR
Reimb Source Code: 3

CC/SCC: NRDB

15. I CERTIFY THAT THE FUNDS CITED ARE PROPERLY CHARGEABLE FOR ITEMS REQUESTED.

AUTHORIZED OFFICIAL (NAME, TITLE AND SIGNATURE)
PAULA L. STEWART Paula L. Stewart
by direction of G. T. MAUPIN, Director
Financial Mgmt/Comptroller, OCNR

DATE
Effective Date
1 October 1989

16. THIS ORDER IS ACCEPTED ACCEPTING OFFICIAL (NAME, TITLE AND SIGNATURE) DATE

Figure 3.3 NAVCOMPT Form 2275: Order for Work or Services

Part I Financial Management Overview

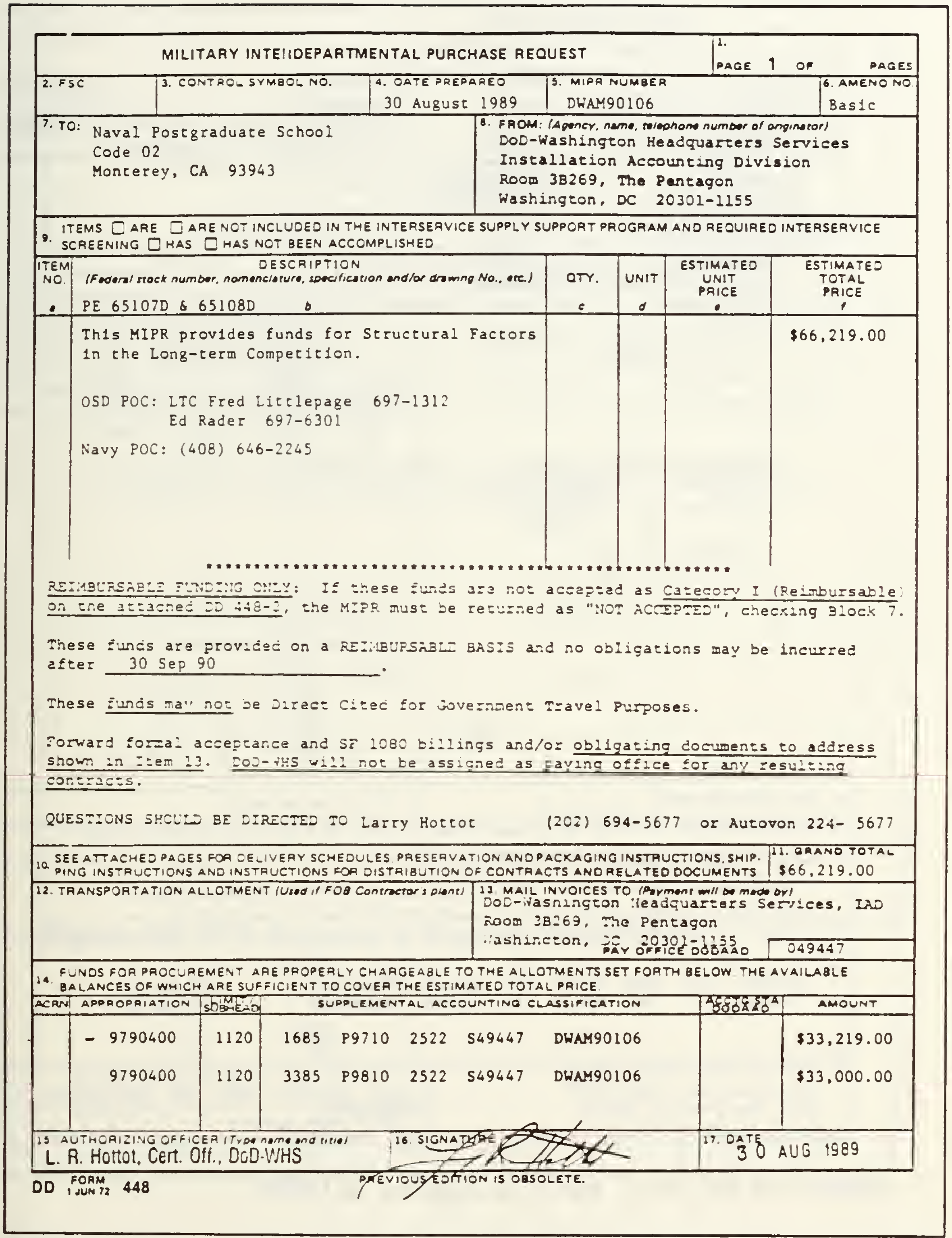
Research Sponsors.

Under direct funding, DON research sponsors are notified by NPS of their allocated share of research effort and the costs of approved proposals. The sponsor subsequently review and approve the NPS proposals they require, and then monitor the progress of those programs.

For reimbursable research, sponsors provide the funds required to accomplish the project. Following NPS acceptance of the reimbursable funds, financial responsibility for the project is transferred from the sponsor to the School. Unobligated funds may be reclaimed by the sponsor.

Principal Investigators.

Principal Investigators (PIs) are faculty members who conceptualize, plan, an coordinate a research project. The PI prepares the Research Proposal and Budget Page, and carries the primary responsibility for an approved project's financial obligations.



MILITARY INTERDEPARTMENTAL PURCHASE REQUEST

1. PAGE 1 OF PAGES

2. FSC	3. CONTROL SYMBOL NO.	4. DATE PREPARED	5. MIPR NUMBER	6. AMEND NO.
		30 August 1989	DWAM90106	Basic

7. TO:
Naval Postgraduate School
Code 02
Monterey, CA 93943

8. FROM: *(Agency, name, telephone number of originator)*
DoD-Washington Headquarters Services
Installation Accounting Division
Room 3B269, The Pentagon
Washington, DC 20301-1155

9. ITEMS ☐ ARE ☐ ARE NOT INCLUDED IN THE INTERSERVICE SUPPLY SUPPORT PROGRAM AND REQUIRED INTERSERVICE SCREENING ☐ HAS ☐ HAS NOT BEEN ACCOMPLISHED

ITEM NO. a	DESCRIPTION *(Federal stock number, nomenclature, specification and/or drawing No., etc.)* b	QTY. c	UNIT d	ESTIMATED UNIT PRICE e	ESTIMATED TOTAL PRICE f
	PE 65107D & 65108D				
	This MIPR provides funds for Structural Factors in the Long-term Competition. OSD POC: LTC Fred Littlepage 697-1312 Ed Rader 697-6301 Navy POC: (408) 646-2245				$66,219.00

****

REIMBURSABLE FUNDING ONLY: If these funds are not accepted as Category I (Reimbursable) on the attached DD 448-2, the MIPR must be returned as "NOT ACCEPTED", checking Block 7.

These funds are provided on a REIMBURSABLE BASIS and no obligations may be incurred after 30 Sep 90.

These funds may not be Direct Cited for Government Travel Purposes.

Forward formal acceptance and SF 1080 billings and/or obligating documents to address shown in Item 13. DoD-WHS will not be assigned as paying office for any resulting contracts.

QUESTIONS SHOULD BE DIRECTED TO Larry Hottot (202) 694-5677 or Autovon 224- 5677

10. SEE ATTACHED PAGES FOR DELIVERY SCHEDULES, PRESERVATION AND PACKAGING INSTRUCTIONS, SHIPPING INSTRUCTIONS AND INSTRUCTIONS FOR DISTRIBUTION OF CONTRACTS AND RELATED DOCUMENTS

11. GRAND TOTAL $66,219.00

12. TRANSPORTATION ALLOTMENT *(Used if FOB Contractor's plant)*

13. MAIL INVOICES TO *(Payment will be made by)*
DoD-Washington Headquarters Services, IAD
Room 3B269, The Pentagon
Washington, DC 20301-1155
PAY OFFICE DODAAD 049447

14. FUNDS FOR PROCUREMENT ARE PROPERLY CHARGEABLE TO THE ALLOTMENTS SET FORTH BELOW. THE AVAILABLE BALANCES OF WHICH ARE SUFFICIENT TO COVER THE ESTIMATED TOTAL PRICE.

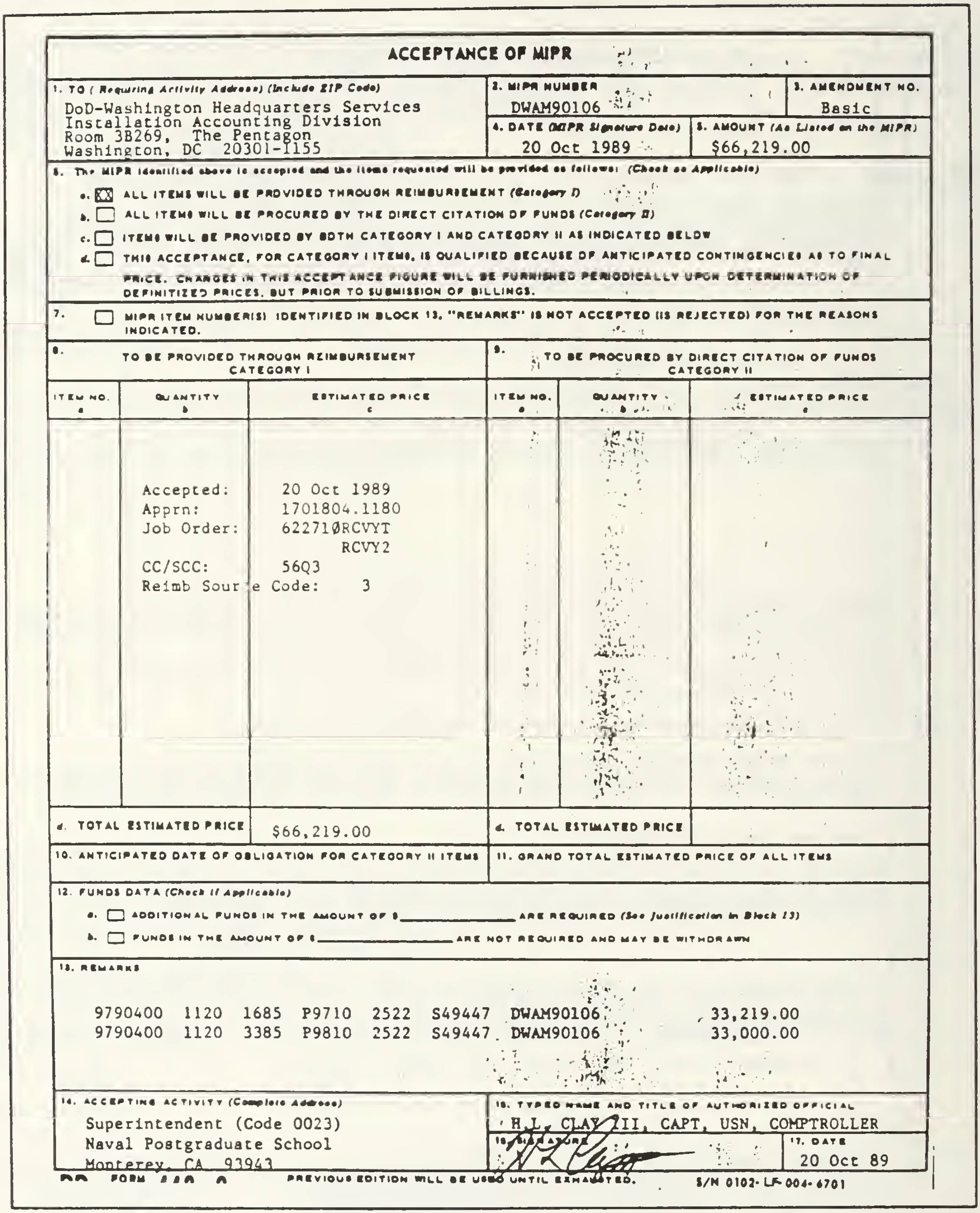
ACRN	APPROPRIATION	LIMIT/ SUBHEAD	SUPPLEMENTAL ACCOUNTING CLASSIFICATION	ACCTG STA DODAAD	AMOUNT
	- 9790400	1120	1685 P9710 2522 S49447 DWAM90106		$33,219.00
	9790400	1120	3385 P9810 2522 S49447 DWAM90106		$33,000.00

15. AUTHORIZING OFFICER *(Type name and title)*	16. SIGNATURE	17. DATE
L. R. Hottot, Cert. Off., DoD-WHS		30 AUG 1989

DD FORM 1 JUN 72 448

PREVIOUS EDITION IS OBSOLETE.

Figure 3.4 DD Form 448: Military Interdepartmental Purchase Request (MIPR)



ACCEPTANCE OF MIPR

1. TO *(Requiring Activity Address) (Include ZIP Code)*
DoD-Washington Headquarters Services
Installation Accounting Division
Room 3B269, The Pentagon
Washington, DC 20301-1155

2. MIPR NUMBER: DWAM90106

3. AMENDMENT NO.: Basic

4. DATE *(MIPR Signature Date)*: 20 Oct 1989

5. AMOUNT *(As Listed on the MIPR)*: $66,219.00

6. The MIPR identified above is accepted and the items requested will be provided as follows: *(Check as Applicable)*

- a. ☒ ALL ITEMS WILL BE PROVIDED THROUGH REIMBURSEMENT *(Category I)*
- b. ☐ ALL ITEMS WILL BE PROCURED BY THE DIRECT CITATION OF FUNDS *(Category II)*
- c. ☐ ITEMS WILL BE PROVIDED BY BOTH CATEGORY I AND CATEGORY II AS INDICATED BELOW
- d. ☐ THIS ACCEPTANCE, FOR CATEGORY I ITEMS, IS QUALIFIED BECAUSE OF ANTICIPATED CONTINGENCIES AS TO FINAL PRICE. CHANGES IN THIS ACCEPTANCE FIGURE WILL BE FURNISHED PERIODICALLY UPON DETERMINATION OF DEFINITIZED PRICES, BUT PRIOR TO SUBMISSION OF BILLINGS.

7. ☐ MIPR ITEM NUMBER(S) IDENTIFIED IN BLOCK 13, "REMARKS" IS NOT ACCEPTED (IS REJECTED) FOR THE REASONS INDICATED.

8. TO BE PROVIDED THROUGH REIMBURSEMENT CATEGORY I			9. TO BE PROCURED BY DIRECT CITATION OF FUNDS CATEGORY II		
ITEM NO. a	QUANTITY b	ESTIMATED PRICE c	ITEM NO. a	QUANTITY b	ESTIMATED PRICE c
		Accepted: 20 Oct 1989 Apprn: 1701804.1180 Job Order: 622710RCVYT RCVY2 CC/SCC: 56Q3 Reimb Source Code: 3			
d. TOTAL ESTIMATED PRICE		$66,219.00	d. TOTAL ESTIMATED PRICE		

10. ANTICIPATED DATE OF OBLIGATION FOR CATEGORY II ITEMS

11. GRAND TOTAL ESTIMATED PRICE OF ALL ITEMS

12. FUNDS DATA *(Check if Applicable)*

- a. ☐ ADDITIONAL FUNDS IN THE AMOUNT OF $________ ARE REQUIRED *(See Justification in Block 13)*
- b. ☐ FUNDS IN THE AMOUNT OF $________ ARE NOT REQUIRED AND MAY BE WITHDRAWN

13. REMARKS

```
9790400  1120  1685  P9710  2522  S49447  DWAM90106        33,219.00
9790400  1120  3385  P9810  2522  S49447  DWAM90106        33,000.00
```

14. ACCEPTING ACTIVITY *(Complete Address)*
Superintendent (Code 0023)
Naval Postgraduate School
Monterey, CA 93943

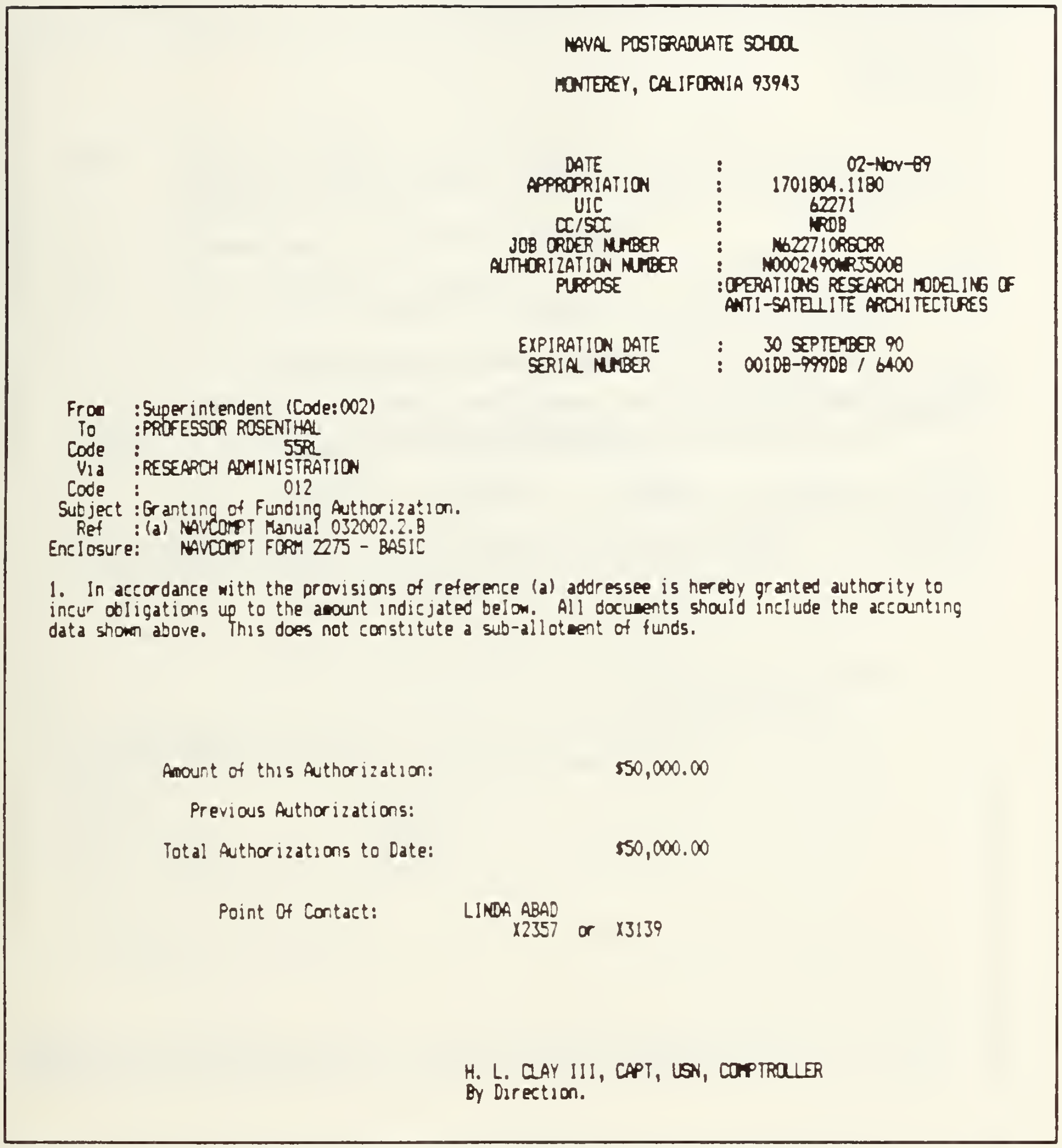
15. TYPED NAME AND TITLE OF AUTHORIZED OFFICIAL: H.L. CLAY III, CAPT, USN, COMPTROLLER

16. SIGNATURE

17. DATE: 20 Oct 89

DD FORM 448-2 PREVIOUS EDITION WILL BE USED UNTIL EXHAUSTED. S/N 0102-LF-004-6701

Figure 3.5 DD Form 448-2: Acceptance of MIPR



NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA 93943

DATE : 02-Nov-89
APPROPRIATION : 1701804.1180
UIC : 62271
CC/SCC : WR0B
JOB ORDER NUMBER : N622710RGCRR
AUTHORIZATION NUMBER : N0002490WR35008
PURPOSE :OPERATIONS RESEARCH MODELING OF ANTI-SATELLITE ARCHITECTURES

EXPIRATION DATE : 30 SEPTEMBER 90
SERIAL NUMBER : 001DB-999DB / 6400

From :Superintendent (Code:002)
To :PROFESSOR ROSENTHAL
Code : 55RL
Via :RESEARCH ADMINISTRATION
Code : 012
Subject :Granting of Funding Authorization.
Ref :(a) NAVCOMPT Manual 032002.2.B
Enclosure: NAVCOMPT FORM 2275 - BASIC

1. In accordance with the provisions of reference (a) addressee is hereby granted authority to incur obligations up to the amount indicjated below. All documents should include the accounting data shown above. This does not constitute a sub-allotment of funds.

Amount of this Authorization: $50,000.00

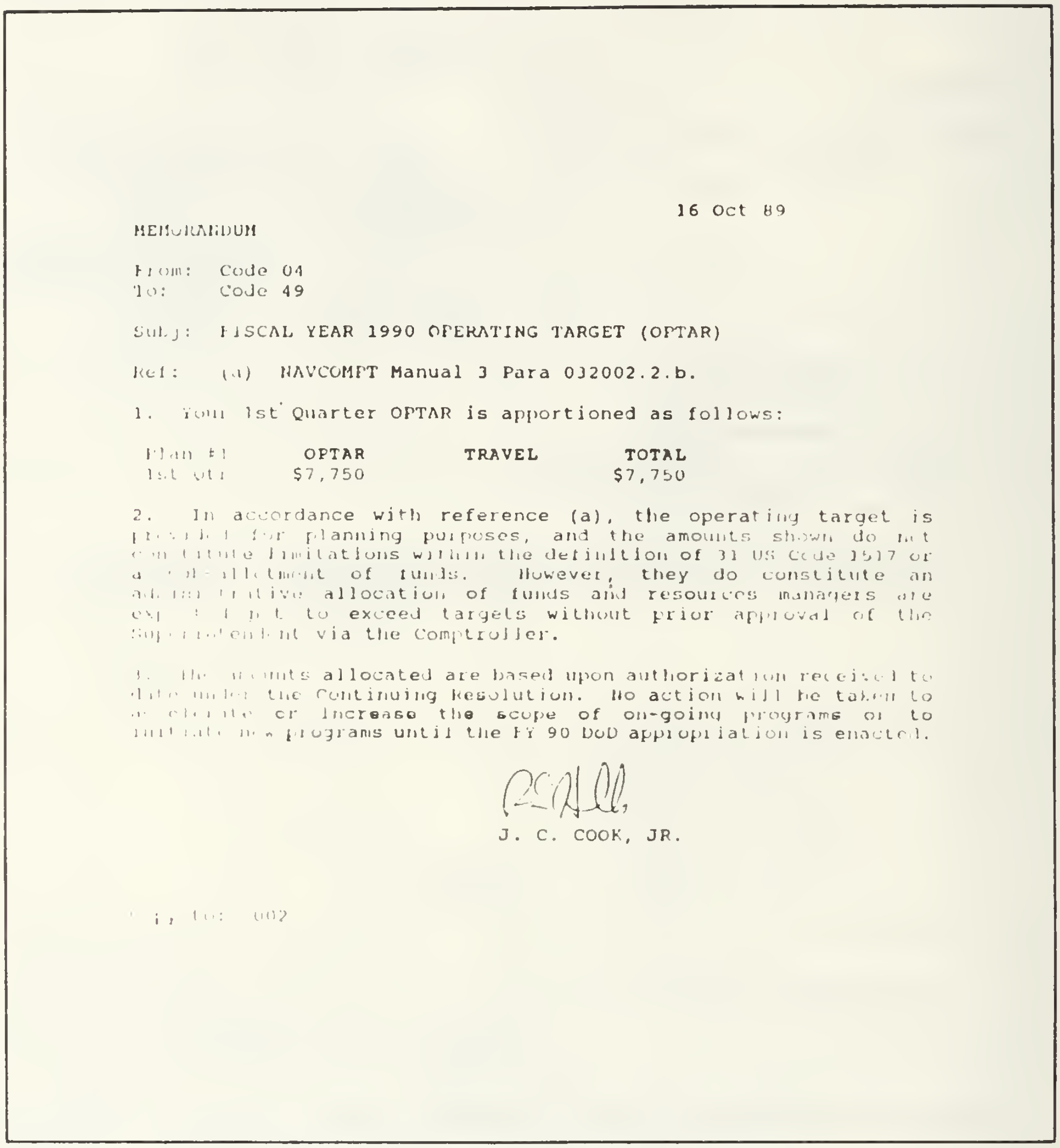
Previous Authorizations:

Total Authorizations to Date: $50,000.00

Point Of Contact: LINDA ABAD
X2357 or X3139

H. L. CLAY III, CAPT, USN, COMPTROLLER
By Direction.

Figure 3.6 NPS Granting of Funding Authorization



16 Oct 89

MEMORANDUM

From: Code 04
To: Code 49

Subj: FISCAL YEAR 1990 OPERATING TARGET (OPTAR)

Ref: (a) NAVCOMPT Manual 3 Para 032002.2.b.

1. Your 1st Quarter OPTAR is apportioned as follows:

Plan #1	OPTAR	TRAVEL	TOTAL
1st Qtr	$7,750		$7,750

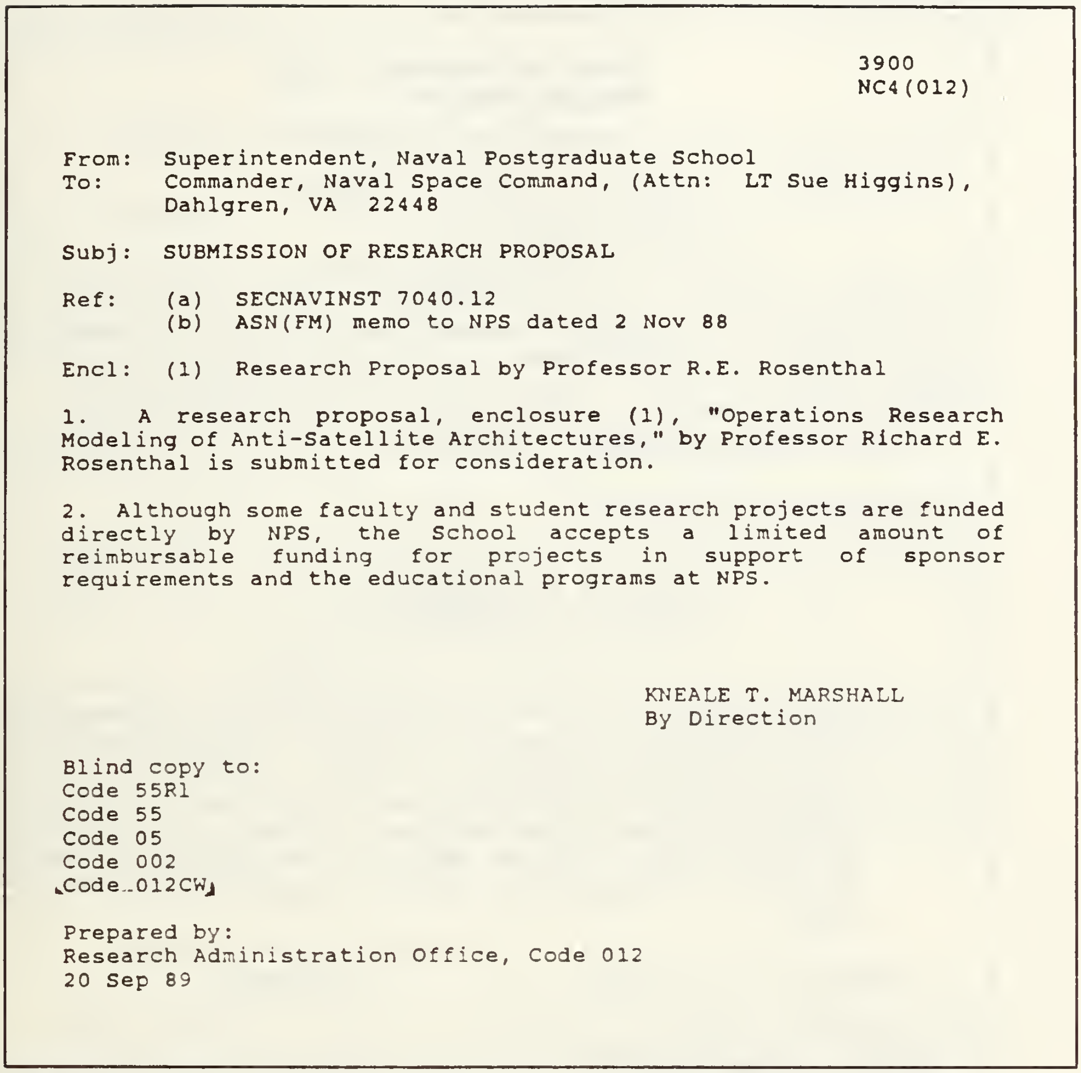
2. In accordance with reference (a), the operating target is provided for planning purposes, and the amounts shown do not constitute limitations within the definition of 31 US Code 1517 or a sub-allotment of funds. However, they do constitute an administrative allocation of funds and resources managers are expected not to exceed targets without prior approval of the Superintendent via the Comptroller.

3. The amounts allocated are based upon authorization received to date under the Continuing Resolution. No action will be taken to accelerate or increase the scope of on-going programs or to initiate new programs until the FY 90 DoD appropriation is enacted.

J. C. COOK, JR.

Copy to: 002

Figure 3.7 NPS Cost Center Funding Authorization



3900
NC4(012)

From: Superintendent, Naval Postgraduate School
To: Commander, Naval Space Command, (Attn: LT Sue Higgins),
Dahlgren, VA 22448

Subj: SUBMISSION OF RESEARCH PROPOSAL

Ref: (a) SECNAVINST 7040.12
(b) ASN(FM) memo to NPS dated 2 Nov 88

Encl: (1) Research Proposal by Professor R.E. Rosenthal

1. A research proposal, enclosure (1), "Operations Research Modeling of Anti-Satellite Architectures," by Professor Richard E. Rosenthal is submitted for consideration.

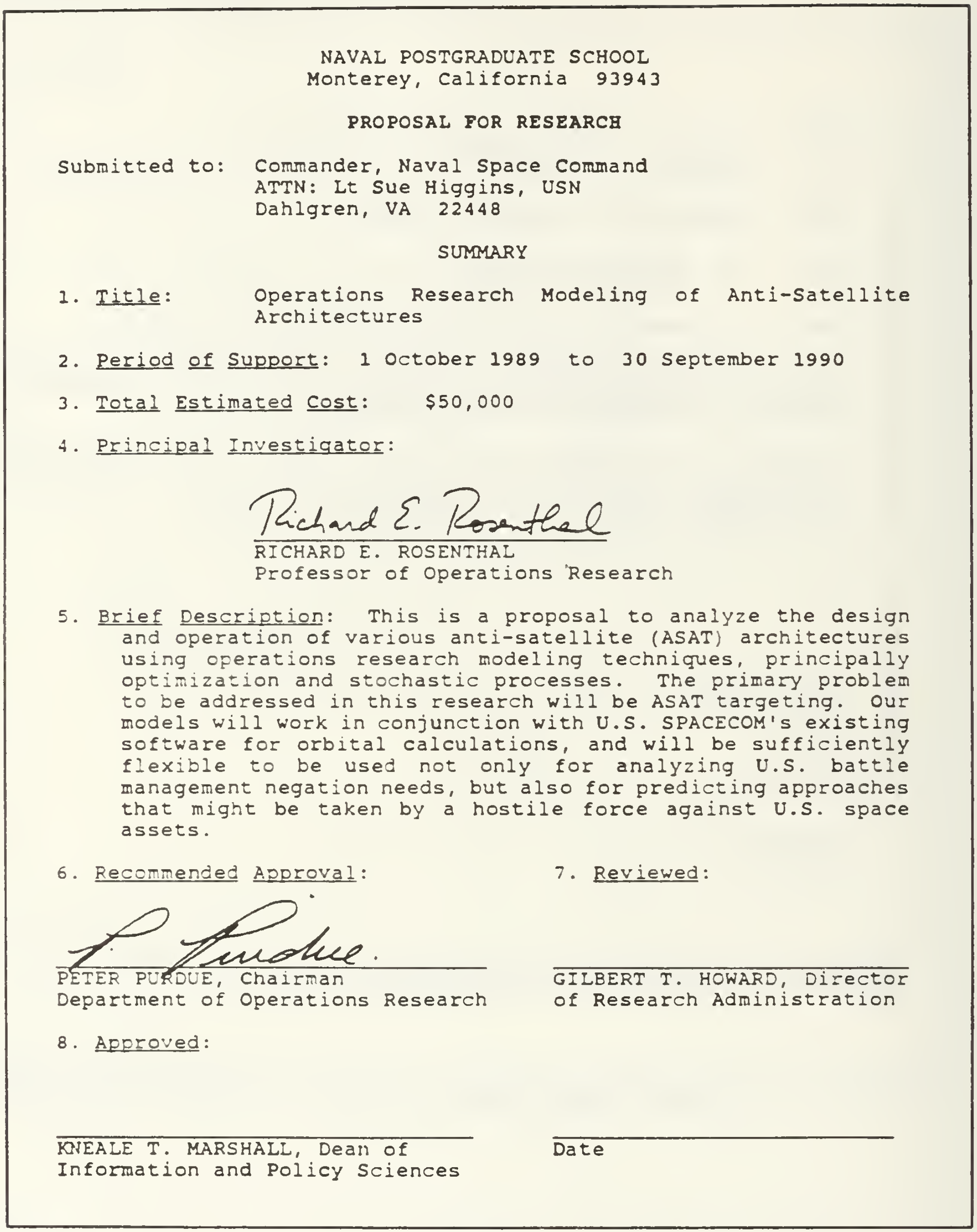
2. Although some faculty and student research projects are funded directly by NPS, the School accepts a limited amount of reimbursable funding for projects in support of sponsor requirements and the educational programs at NPS.

KNEALE T. MARSHALL
By Direction

Blind copy to:
Code 55R1
Code 55
Code 05
Code 002
Code 012CW

Prepared by:
Research Administration Office, Code 012
20 Sep 89

Figure 3.8 Submission of Research Proposal



NAVAL POSTGRADUATE SCHOOL
Monterey, California 93943

PROPOSAL FOR RESEARCH

Submitted to: Commander, Naval Space Command
ATTN: Lt Sue Higgins, USN
Dahlgren, VA 22448

SUMMARY

1. Title: Operations Research Modeling of Anti-Satellite Architectures

2. Period of Support: 1 October 1989 to 30 September 1990

3. Total Estimated Cost: $50,000

4. Principal Investigator:

Richard E. Rosenthal
RICHARD E. ROSENTHAL
Professor of Operations Research

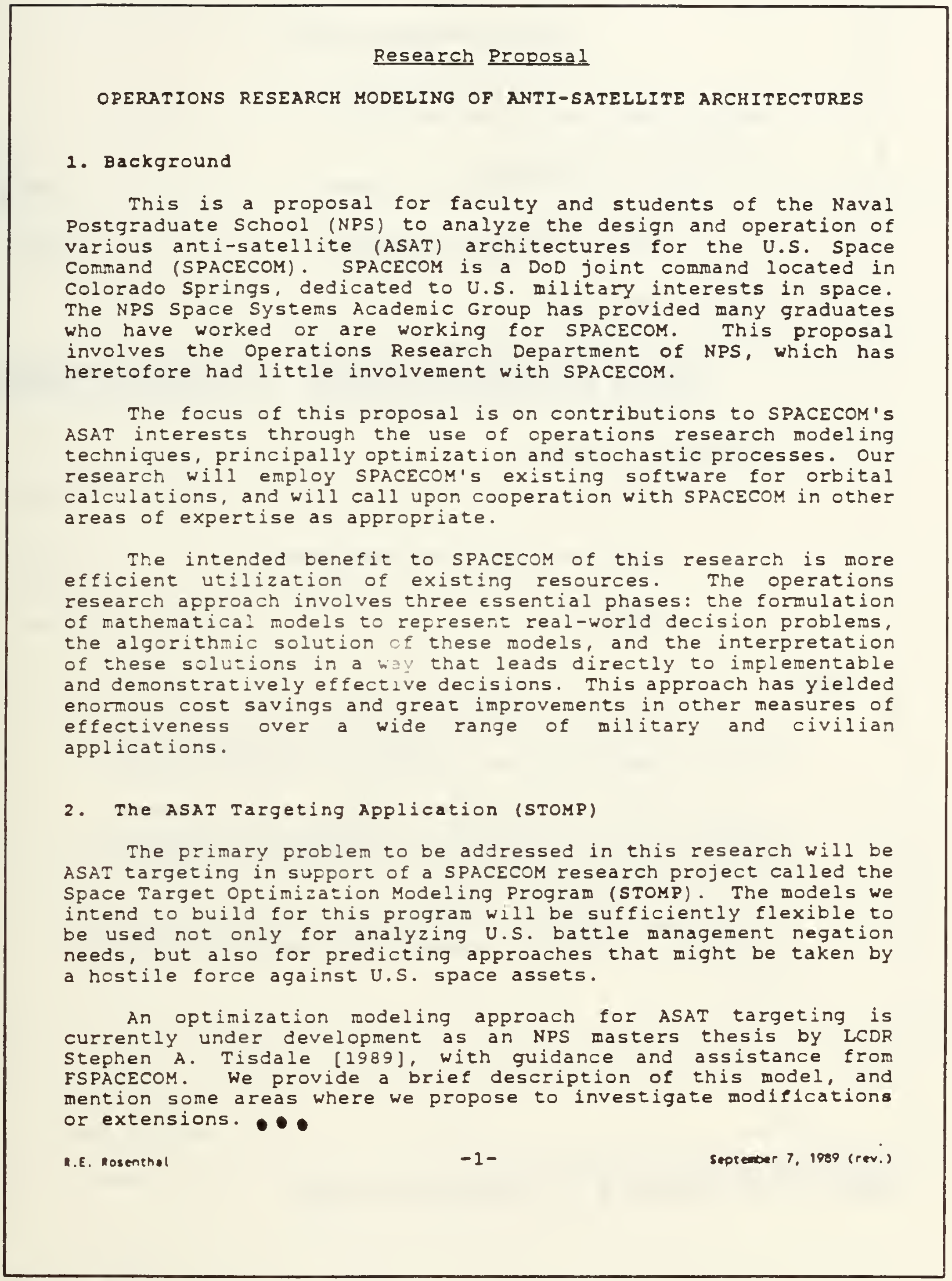
5. Brief Description: This is a proposal to analyze the design and operation of various anti-satellite (ASAT) architectures using operations research modeling techniques, principally optimization and stochastic processes. The primary problem to be addressed in this research will be ASAT targeting. Our models will work in conjunction with U.S. SPACECOM's existing software for orbital calculations, and will be sufficiently flexible to be used not only for analyzing U.S. battle management negation needs, but also for predicting approaches that might be taken by a hostile force against U.S. space assets.

6. Recommended Approval:	7. Reviewed:
P. Purdue	
PETER PURDUE, Chairman Department of Operations Research	GILBERT T. HOWARD, Director of Research Administration

8. Approved:

KNEALE T. MARSHALL, Dean of Information and Policy Sciences	Date

Figure 3.9 Proposal for Research



Research Proposal

OPERATIONS RESEARCH MODELING OF ANTI-SATELLITE ARCHITECTURES

1. Background

This is a proposal for faculty and students of the Naval Postgraduate School (NPS) to analyze the design and operation of various anti-satellite (ASAT) architectures for the U.S. Space Command (SPACECOM). SPACECOM is a DoD joint command located in Colorado Springs, dedicated to U.S. military interests in space. The NPS Space Systems Academic Group has provided many graduates who have worked or are working for SPACECOM. This proposal involves the Operations Research Department of NPS, which has heretofore had little involvement with SPACECOM.

The focus of this proposal is on contributions to SPACECOM's ASAT interests through the use of operations research modeling techniques, principally optimization and stochastic processes. Our research will employ SPACECOM's existing software for orbital calculations, and will call upon cooperation with SPACECOM in other areas of expertise as appropriate.

The intended benefit to SPACECOM of this research is more efficient utilization of existing resources. The operations research approach involves three essential phases: the formulation of mathematical models to represent real-world decision problems, the algorithmic solution of these models, and the interpretation of these solutions in a way that leads directly to implementable and demonstratively effective decisions. This approach has yielded enormous cost savings and great improvements in other measures of effectiveness over a wide range of military and civilian applications.

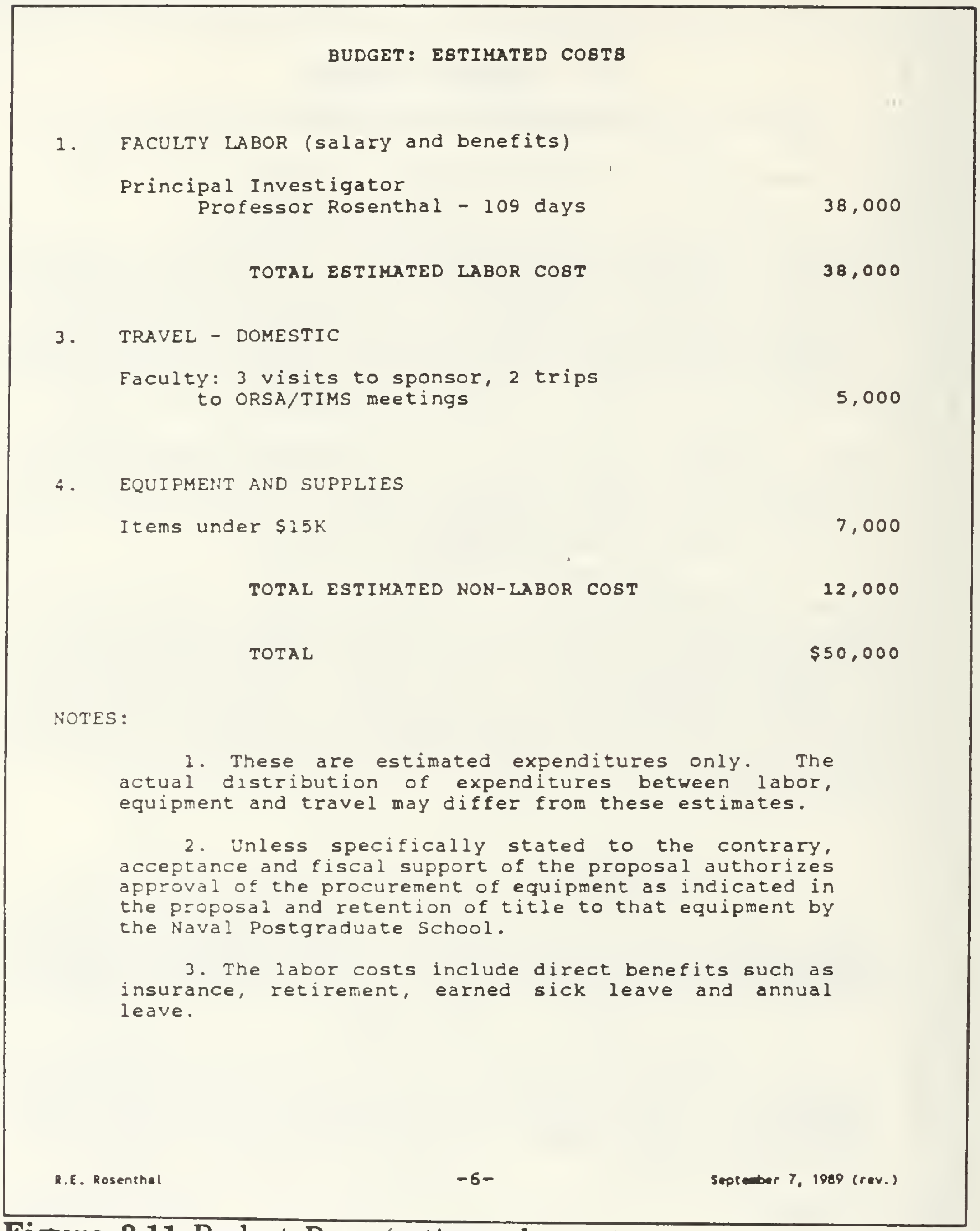
2. The ASAT Targeting Application (STOMP)

The primary problem to be addressed in this research will be ASAT targeting in support of a SPACECOM research project called the Space Target Optimization Modeling Program (STOMP). The models we intend to build for this program will be sufficiently flexible to be used not only for analyzing U.S. battle management negation needs, but also for predicting approaches that might be taken by a hostile force against U.S. space assets.

An optimization modeling approach for ASAT targeting is currently under development as an NPS masters thesis by LCDR Stephen A. Tisdale [1989], with guidance and assistance from FSPACECOM. We provide a brief description of this model, and mention some areas where we propose to investigate modifications or extensions. • • •

R.E. Rosenthal -1- September 7, 1989 (rev.)

Figure 3.10 Research Proposal (text example)



BUDGET: ESTIMATED COSTS

1.	FACULTY LABOR (salary and benefits)	
	Principal Investigator Professor Rosenthal - 109 days	38,000
	TOTAL ESTIMATED LABOR COST	38,000
3.	TRAVEL - DOMESTIC	
	Faculty: 3 visits to sponsor, 2 trips to ORSA/TIMS meetings	5,000
4.	EQUIPMENT AND SUPPLIES	
	Items under $15K	7,000
	TOTAL ESTIMATED NON-LABOR COST	12,000
	TOTAL	$50,000

NOTES:

1. These are estimated expenditures only. The actual distribution of expenditures between labor, equipment and travel may differ from these estimates.

2. Unless specifically stated to the contrary, acceptance and fiscal support of the proposal authorizes approval of the procurement of equipment as indicated in the proposal and retention of title to that equipment by the Naval Postgraduate School.

3. The labor costs include direct benefits such as insurance, retirement, earned sick leave and annual leave.

R.E. Rosenthal -6- September 7, 1989 (rev.)

Figure 3.11 Budget Page (estimated costs)

Part
II

DOCUMENT PREPARATION

PART II

INTRODUCTION

Part II of this guide provides information necessary to administratively prepare NPS financial documents. In the interest of completeness, procedures and examples for preparing several non-financial documents have also been included.

While it is impossible for this text to cover every conceivable situation, the explanations and examples provided should enable cost center personnel to prepare the majority of financial documents typically encountered at the Naval Postgraduate School. Chapters 4 through 9 discuss the following aspects of accounting documentation and provide samples of the various documents used to record obligations and expenditures:

Chapter 4 - Coding Systems

Chapter 5 - Purchases Document Preparation

Chapter 6 - Travel Document Preparation

Chapter 7 - Labor Document Preparation

Chapter 8 - Training Document Preparation

Chapter 9 - Reimbursable Fund Document Preparation .

Chapter 4 is devoted to DOD, DON, and NPS coding systems, and describes the various coding structures found on financial documents. The chapter begins with a brief introduction to the coding system used for appropriation documents and high level financial reporting, and concludes with a detailed explanation of NPS Accounting Classification and Local Management Codes.

Chapters 5 through 9 group the documents into several descriptive categories. Each chapter outlines the purpose for the documents, defines cost center administrative responsibilities, and illustrates procedures for document preparation.

CHAPTER 4

CODING SYSTEMS

Uniform Expense Accounting Structure.

In order to integrate programming, budgeting, accounting and reporting under the Resource Management System (RMS), a uniform system of accounting is necessary. Such a system ensures that reported information serves the need of managers; that it facilitates comparisons of accounting and budget reports; and that it aligns budgeting and accounting information with the programming needs of the Department of Defense. The accounting structure of the RMS is tied to programs established by DOD, and the President's Budget, and serves as a basis for units to report their operating expenses.

The following coding categories for spending appear on funding documents, i.e., appropriations, allotments, etc., as well as FIPC accounting reports (UMRs), and indicate who spent the funds and the purpose for resource use under RMS:

Budget Activity (BA). The Department of Defense Five Year Defense Plan contains eleven major programs. The major programs apply to each of the Service Departments and are identified by a code known as the Budget Activity.

Budget Activity	Major Program
1.	Strategic Forces
2.	General Purpose Forces
3.	Intelligence and Communications
4.	Airlift and Sealift
5.	Guard and Reserve Forces
6.	Research and Development
7.	General Supply and Maintenance
8.	Training, Medical and Other General Personnel Activities
9.	Administrative and Associated Activities
10.	Support of Other Nations
11.	Special Operation Forces

The Budget Activity relates a portion of a given defense appropriation to a major program. O&M,N appropriations, for example, may be subdivided into 11 separate Budget Activities. Figure 4.1 provides an example of O&M,N appropriations for the Navy's strategic forces.

Program Element (PE). The PE is a further breakdown of the Budget Activity. It groups forces, manpower, and costs into projects, e.g., the Trident missile project, within each major program.

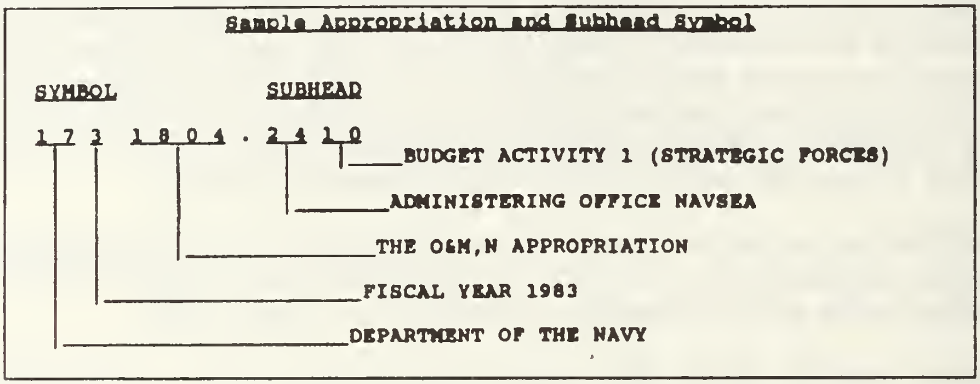

Sample Appropriation and Subhead Symbol
SYMBOL
SUBHEAD
1 7 3 1 8 0 4 . 2 4 1 0
BUDGET ACTIVITY 1 (STRATEGIC FORCES)
ADMINISTERING OFFICE NAVSEA
THE O&M,N APPROPRIATION
FISCAL YEAR 1983
DEPARTMENT OF THE NAVY

Figure 4.1 Sample Appropriation and Subhead

Unit Identification Code (UIC). A general identification code used to identify a DON unit. It is used for all reporting purposes and is not purely financial in nature. The UIC for NPS, for example, is "62271".

Activity Group/Sub-Activity Group (AG/SAG). A two character code which shows principal areas of financial activity; required by major claimants for the administration of funds under RMS.

Functional/Subfunctional Category (F/SFC). A two character code which indicates the functions being performed when resources were used. The first character of this code is the functional category, while the second character is the subfunctional category.

Cost Account Codes (CAC). A four digit alpha-numeric code which describes the F/SFC in more detail and classifies transactions according to purpose.

Expense Elements (EE). A single character code which classifies an expense by the type of resource being consumed.

In practice, the Comptroller Department is primarily concerned with the last four coding categories. AGs are generally used at the major claimant level, while SAGs are used at the Fund Administering Activity (NPS Comptroller) level and above.

Both the official accounting reports (FIPC UMRs) received at NPS, and the accounting reports sent out by NPS, reflect the utilization of funds by means of RMS category codes. The category codes may be presented in various formats depending upon the purpose of the report.

At NPS, the Comptroller Department prepares the "Monthly OPTAR Report" and "Reimbursable Report" for the cost centers, which indicate fund utilization primarily by means of a local coding system. The local coding system is comprise of Local Management Codes (LMCs) which, together with the codes previously mentioned, allow funds to be tracked by both location and purpose; i.e., they identify who obligated the funds and why they were expended (Figure 4.2).

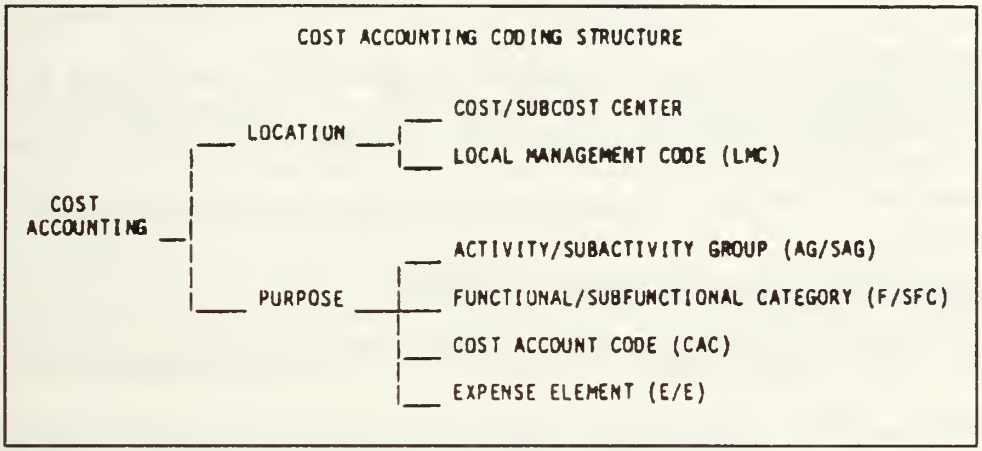

COST ACCOUNTING CODING STRUCTURE
COST ACCOUNTING
LOCATION
COST/SUBCOST CENTER
LOCAL MANAGEMENT CODE (LMC)
PURPOSE
ACTIVITY/SUBACTIVITY GROUP (AG/SAG)
FUNCTIONAL/SUBFUNCTIONAL CATEGORY (F/SFC)
COST ACCOUNT CODE (CAC)
EXPENSE ELEMENT (E/E)

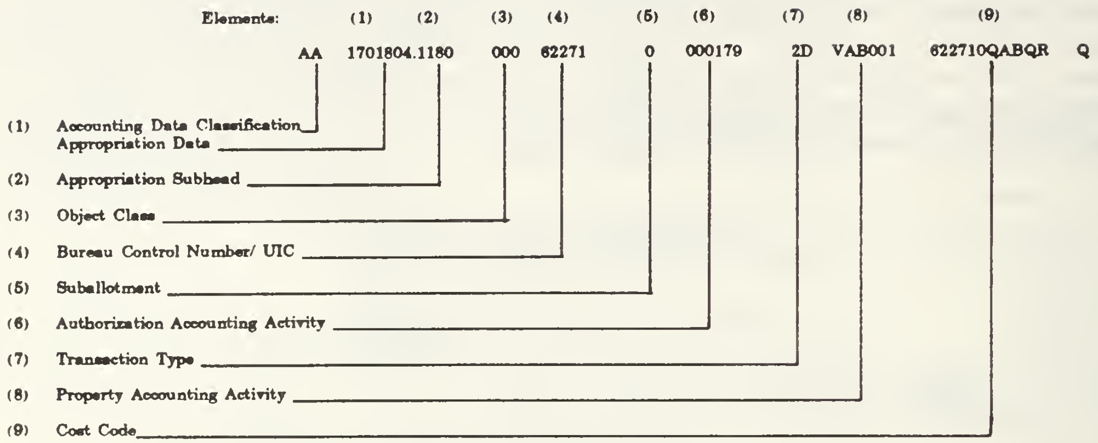
Figure 4.2 Cost Accounting Coding Structure

Cost centers and sub-cost centers at NPS do not become directly involved with preparing or reconciling RMS reports; therefore, they do not require extensive knowledge of RMS codes or reporting procedures. In fact, cost center personnel usually prepare their financial documents using "canned" accounting codes provided by the Comptroller at the beginning of each fiscal year. Personnel using these "canned" codes to enter accounting data on various obligation documents, e.g., travel orders, training documents, etc., should be aware, however, that many of these codes are actually the same RMS codes used on official accounting reports.

Accounting Classification Code.

Accounting Classification Code, often referred to as "lines of accounting data", provide a means of accumulating and reporting accounting information in a uniform manner. The code is used on all purchase request, obligation and expenditure documents. It also relates directly to many of the RMS codes previously mentioned, and allows the AAA/FIPC to furnish the Fund Administering Activity with official reports on disbursements and refunds. The complete accounting classification consists of nine coding elements; the content of each element will vary depending upon the reporting activity and its specific reporting requirements. The accounting classification used by NPS is as follows:

Example


Elements:
(1) (2) (3) (4) (5) (6) (7) (8) (9)
AA 1701804.1180 000 62271 0 000179 2D VAB001 622710QABQR Q
(1) Accounting Data Classification
Appropriation Data
(2) Appropriation Subhead
(3) Object Class
(4) Bureau Control Number/ UIC
(5) Suballotment
(6) Authorization Accounting Activity
(7) Transaction Type
(8) Property Accounting Activity
(9) Cost Code

Elements of Accounting Classification Code.

(1&2) Accounting Data Classification (two digits alphabetic).

Accounting Data Classification codes (shown below) are used on travel documents t denote the purpose for travel fund expenditures. Code usage is mandatory and, while only the applicable codes need be used, the codes must be entered on the appropriate travel document in sequential order. Specific information on travel documents and code usage is contained in Chapter 6 - Travel Documents.

AA= Per Diem, POV Travel, non-GTR air travel and miscellaneous charges. Includes taxis, baggage tips and rental car (if the rental car is used in conjunction with air travel).

AB= Cost of GTR travel only.
AC= Travel Advance.
AD= Registration and Tuition fees.

Appropriation Data/Subhead (eleven digits).

The appropriation code for Navy and Marine Corps funds begins with "17" t identify the Department of the Navy. The next entry is the last digit of the fiscal year. For FY90 the entry would be, "0".

The next eight entries in Element (1) are the funding code numbers for the appropriation, together with its subhead. For NPS O&M,N (direct funds) this entry is, "1804.1180".

Example:
AA = Per diem
17 = Navy
0 = FY 1990
1804= O&M,N appropriation code
1180= Appropriation subhead

(3) Object Class and Reimbursement Source Codes (three digits).

Object Class Codes are used in reporting data whenever an analysis by object class is required. An object class is based upon the nature of the services, or articles for which funds are expended, as distinguished from the purpose for which such obligations are incurred. Expense elements are not shown in this field. For NPS, a class code is usually not required; therefore, the entry is "000".

(4) Bureau Control Number/UIC (five digits).

For Headquarters and centrally managed programs a Bureau Control Number is entered in Element (4). For field operating budgets, such as NPS, the activity's Unit Identification Code is entered. For NPS, the entry is "62271".

(5) Suballotment (one digit alpha/numeric).

The Suballotment code is assigned to a receiving activity if they receive regular suballotments. It is used when more than one operating budget is issued to a single UIC under the same subhead. This field does not apply to NPS; therefore, the entry is "0".

(6) Authorization Accounting Activity (six digits).

The UIC or Bureau Control Number is entered for the activity designated to perform official accounting functions. For NPS, this activity is the NRFC, Washington, D.C.; therefore, the FIPC's UIC, "000179", is entered as Element (6).

(7) Transaction Type (two digits alpha/numeric).

A Transaction Type is a designator code which identifies purchases for stores accounts, direct charges to plant property accounts, travel payments, contract payments and other charges. The following codes frequently apply:

2T= Repairs of material in store other than stock funds.
1K= Military or Civilian travel advances.
2D= All other transactions, except that other specific codes will be applied at time of payment in accordance with Navcompt Manual Vol II, Chapter 8, Par. 028004.

(8) Property Accounting Activity/Auxiliary Cost Code (six digits alpha/numeric).

At NPS, this element is used primarily as an auxiliary cost code. The first entry to Element (8) is the last letter of the form's "Type of Document" code. The next five entries are the form's "Assigned Serial Number". These six entries correspond to the last six digits of the form's Standard Document Number. For example, the code "VAB001" indicates that this document is the first "Claim for Reimbursement" submitted by the Comptroller Department in FY 90. Refer to appropriate appendix for the applicable type document codes and serial numbers.

Navcompt Manual Volume II states the following:

(1) General.

When this element is not for the purposes described in subparagraphs (2) through (9), this element will be available as an extension of the cost code element for other pertinent data.

(2) Stores Account.

When the transaction type code indicates a purchase for a stores account (Navy Stock Account centrally managed allotment purchases, Appropriation Purchases Account, Marine Corps Stock Fund Account, or Marine Corps Appropriation Stores Account), the unit identification code assigned to the activity designated to take up the property in the stores account will be shown as the property accounting activity. In the case of Navy Stock Account class 207 centrally managed allotment purchases, the activity to be identified will be the ship responsible for the stores account.

(3) Plant Property Account.

When the transaction type code indicates a purchase as a direct charge to the plant property account (not through a stores account), the unit identification code of the activity for which the plant property is purchased (the activity for which a Reconciliation of Plant Account (NAVCOMPT Form 167) is prepared) will be shown as the property accounting activity.

(4) Travel Order Identification.

(a) General.

For temporary additional duty travel of military members and civilian employees, identification of the travel order is accomplished on transportation requests, military transportation authorization, and travel claims by citing the TANGO or travel order number as an element of accounting data. On travel orders, transportation requests, military transportation authorizations, and travel vouchers, the TANGO or travel order number will be shown on the accounting classification line following the transaction type and preceding the cost code. For all temporary additional duty travel funded by Navy annual appropriations for fiscal year 1977 or subsequent fiscal years (including such travel of Marine Corps personnel), the last digit of the fiscal year funding the travel will be the first character of the six-character TANGO or travel order number. For example, if the appropriation chargeable is 1771804, Operation and Maintenance, Navy, the first character of the six character TANGO or travel order number will be the numeral 7. When travel is funded by Marine Corps funds, there is no restriction as to the first character of the travel order number.

(b) Exception.

An exception to subparagraph (a) applies when the travel order cites the appropriation 17-1319, Research, Development, Test, and Evaluation. Travel orders, transportation requests, military transportation authorizations, and travel vouchers citing the RDT&E appropriation will include the TANGO or travel order number in the cost code.

(5) Fleet and Security Assistance Program Requisitions.

The unit identification code of the requisitioner for procurement transactions relating to the operating forces, including ships operating under special accounting class 207 procedures, will be shown as an extension of the cost code element. The unit identification code will be preceded by R or V as applicable. For Security Assistance Program requisitions citing Foreign Military Sales (FMS) or Grant Aid (GA) appropriation (17-11X8242, Advances, Foreign Military Sales, Executive (Transfers to Navy), or 17-11-1080, Military Assistance (Transfers to Navy), the unit identification codes from the MILSTRIP requisition number will be cited.

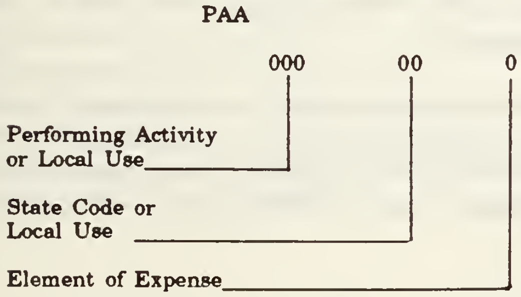
(6) Research, Development, Test, and Evaluation.

The program element and the project number will be cited for all RDT&E funded procurement transactions. Only the program element is required when the transaction pertains to material issues from the Navy Stock Fund or to civilian labor. In this instance, the program element will be shown in the first and second positions followed by four zeros.

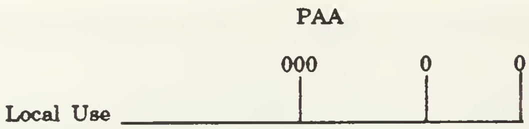
(7) Research, Development, Test, and Evaluation, Navy, FY 1981 and Subsequent Years.

The Property Accounting Activity (PAA) will be structured for FY 1981 and subsequent years as follows:

Headquarters and Centrally Managed Programs Administering Office and Operational Budget Holder (AO & OB) and Reimbursable Programs (HB OB) Levels



Field (OB) and Reimbursable Programs (FLD OB)



(8) Navy Stock Fund Budget Project.

When the Navy Stock Fund is reimbursed for an issue, the financing Navy Stock Fund two-digit budget project number will be cited in the fifth and sixth positions of the element, preceded by four zeros under the line of accounting data representing the appropriation charged. When the Navy Stock Fund is reimbursed for a cash sale in register 14 (credit to Navy Stock Fund), this element will contain a four-digit customer code followed by the Navy Stock Fund budget project number.

(9) Military Personnel, Navy Subsistence-in-Kind Program.

For subsistence-in-kind procurements from local vendors, report the Julian date of the requisition preceded by two zeros. The Julian date must be compatible to the appropriation fiscal year cited in the accounting classification code.

(9) Cost Code (twelve digits).

The Cost Code provides more detail than the information identified in the remainder of the accounting classification code. The cost code system is assigned by the accounting office (FIPC) serving the allotment holder (NPS), in collaboration with the major claimant.

The cost code used by NPS consists of twelve digits. The first six digits correspond to the NPS UIC; i.e., "62271". The next digit entered is the last number of the fiscal year; for FY 90 the entry would be "0", for FY 91 the entry would be "1", and so on.

The five digits, which follow the fiscal year entry, equate to the Job Order Number. The Job Order Number, which is further defined in the next section, consists of five entries; (1) a single digit for the expense element, (2) the first digit of the cost center code, (3) the first digit of the sub-cost center code, and (4&5) two additional digits for descriptive elements.

The final cost code entry is a single character representing the expense element. It is separated from the previous eleven cost code digits by a single space. As an example, the cost code "622710QABQR Q" represents an obligation incurred by the NPS Comptroller Department, in FY 90, for registration fees or conference costs.

Local Management Coding System.

Office Codes.

Office codes are assigned to each office within the NPS organizational structure, primarily for the purpose of routing correspondence. The coding structure provides an efficient of means of identifying departments (cost centers) and their respective division/branch offices (sub-cost centers). Office codes are not the same as cost/sub-cost center codes and must not be used for accounting data entries. Office codes may be found in Appendices E or F.

Cost Center/Sub-Cost Center Codes.

Cost center and sub-cost center codes are local management codes assigned to each department and division for the purpose of tracking financial information. With respect to NPS, the codes are assigned in collaboration with the FIPC (accounting activity) and FSA (major claimant). Cost and sub-cost center codes make up a portion of the job order number, standard document number, and accounting classification cost code, and are used on financial documents to identify obligations and expenditures by location. Ensure that the correct codes have been selected when preparing financial documents, as the NPS codes vary depending upon whether the fund source is OPTAR, Direct Funded Research or Indirect Support. Cost/Sub-cost center codes may be found in Appendices F and G.

Job Order Numbers.

O&M,N/OPTAR Funds.

The Navy uses job order codes to account for accrued expenses, by relating the job order to various categories into which expenses are classified. Job order numbers are recorded on all documents used for procurement, consumption/application, and accounting for operating funds. A job order could contain the elements shown in Figure 4.3; however, as each shore activity is unique in its mission, location, etc., the job order coding is the responsibility of the individual command, and may have greater or fewer parts than the one illustrated.

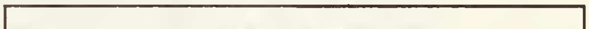

SAMPLE JOB ORDER
SUBACTIVITY GROUP CODE
FUNCTIONAL CATEGORY CODE
SUBFUNCTIONAL CATEGORY CODE
ELECTRICAL UTILITY
COST ACCOUNT CODE
ELECTRICAL GENERATING PLANT
FISCAL YEAR (LAST DIGIT)
JOB ORDER SERIAL NUMBER
ADDITIONAL SPACES FOR LOCAL MANAGEMENT
F3
N
1
82
10
3
01
XXXX
COST ACCOUNT

Figure 4.3 Sample Job Order

At NPS, the job order number consists of the following:

JOB ORDER NUMBERING SYSTEM

T G C G S

EXPENSE ELEMENT — SUB COST CENTER — ADDITIONAL DESCRIPTIVE ELEMENTS

Refer to Appendix D for the information on expense elements codes.

Reimbursable Funds.

The primary difference in accounting between Naval Postgraduate School O&M,N (direct) monies and reimbursable monies, is that accounting for reimbursable funds must be done separately for each funding document. Because the variety of reimbursable funds received by NPS, each reimbursable account mus be treated as a separate "pot of money" for accounting and billing purposes. Funding documents received by NPS are each assigned a separate job order numbe by the Comptroller, and each number is unique to that reimbursable account. On the other hand, the FY 90 Operating Budget of $46,743,000 is accounted for by multiple job order numbers unique to each cost and sub-cost center, but jointly tie to the total direct funding.

Job order numbers assigned by the Comptroller for reimbursable accounts consist of a five digit alpha-numeric code, usually preceded by the NPS UIC and the last digit of the fiscal year:

> The first digit of the code will always commence with the letter "R", to indicate that the funds are associated with a reimbursable account.
>
> The next four letters are a "special code" the Comptroller assigns depending upon the reimbursable account category the funds are assigned to; i.e.,
>
> PW - Public Works Department
> FH - Family Housing
> RR - Reimbursable Research
> NR - Navy Research
> RM - Other Reimbursable
> AC - Academic Services
> DR - DRMEC
> PR - PERSEREC
> TU - Tuition

While the codes for reimbursable accounts may not appear systematic to personnel working at the cost center level, suffice it to say that a unique job order number is assigned to each reimbursable account. The account's job order number is provided to cost centers, on a "Granting of Funding Authorization" memorandum, whenever the cost center is given authorization to obligate reimbursable funds.

Document Numbering System.

Document numbers are used to administratively track financial documents. At NPS, a document's standard document number would be assigned as shown in Figure F.1 of Appendix F.

Appendices F and G provide OPTAR and Direct Funded Research document serial numbers assigned to NPS cost/sub-cost centers. Note that the document serial numbers must be used in sequential order. The first row of serial numbers shown in the Appendices apply to all documents other than DD-1348 Milstrip Requisitions. For example, the Comptroller Department's OPTAR serial numbers commence with AB000 and progress sequentially through AB999. If more than one thousand document serial numbers are required during the fiscal year, the Comptroller OPBUD Division must be notified and a new series of document numbers will then be assigned.

For Direct Funded Research (DFR), a variation on the system shown in Appendix G has recently been implemented in order to separate different research accounts within the same cost/sub-cost center. For DFR accounts, the third digit of the document serial number will be a letter (vice a numeral) assigned to a specific Principal Investigator within that department. For example, a research account document serial number for Professor Smith, of the Computer Science department, might be "LAA00", vice the Computer Research departments normal serial number of "LA000". In any case, a unique range of document serial numbers will be provided to the Principal Investigator, on the "Granting of Funding Authorization" memorandum, when research funds are approved.

The second row of document serial numbers, shown in Appendices F and G, pertain to DD-1348 Milstrip Requisitions. A DD-1348's document number must always start with the UIC, followed by the julian date, and the four digit serial number. As each cost/sub-cost center is assigned a sequence of ten serial numbers, only ten requisitions may be made per julian day. As an example, the Comptroller Department's first requisition of the day, on January 01, 1990, would require the document number "62271 0001 0011". The document serial numbers would progress up to "0020" for each subsequent requisition. The first requisition on January 2 would read "62271 0002 0011".

CHAPTER 5

PURCHASE DOCUMENTS

Introduction.

The purchase of supplies or services involves one of several documents. The document used is dependent upon the source of supplies or services. Generally, purchases from government sources require the DD Form 1348 (DOD Single Line Item Requisition System Document), while purchases from commercial sources require the NPS Open Purchase Requisition Form. Procurement of express mail service requires a DD Form 1149 (Requisition and Invoice/Shipping Document).

The following forms are used to obligate funds:

(1) NavCompt 2277 Voucher for Disbursement and/or Collection.
(2) DD Form 1149 Requisition and Invoice/Shipping Document.
(3) DD 1348 DOD Single Line Item Requisition System Document.
(4) NPS Open Purchase Requisition Form.

Two additional forms are used to requisition items from local sources.

(5) GPO 689-317, Office Supplies, Turn-in or Request.
(6) NAVFAC 9-11014/8, Material Requirements/Issue Document.

References.

(1) Supply Department's FY90 Customer Service Manual
A guide for procurement and disposition of material and supplies. Provides basic information about NPS supply services and preparation of required documents.

(2) NAVPGSCOLINST 3900.2
Accountability of Books Purchased through Reimbursable Research Funds.

(3) NAVPGSCOLINST 4400.1
Requisition/Receipt Procedures for Supplies.

(4) NAVPGSCOLINST 4400.2
Policies and Procedures for Purchasing Restricted Items.

(5) NAVPGSCOLINST 7200.1E
Fees & Expenses to Visiting Lecturers/Consultants.

(6) NAVPGSCOL NOTICE 7200 Fees for Guest Lectures/Consultants (Honorariums).

Document Description.

NavCompt Form 2277 Voucher for Disbursement and/or Collection.

(Figures 5.1 and 5.2)

Although the NavCompt Form 2277 has many uses, it is addressed in this section for the authorization and payment of Honorariums.

Honorariums.

A Honorarium is a gratuitous payment, or fee, paid to guest lecturers or consultants for their services. Departments wishing to pay honorariums to guest lecturers must complete NavCompt Form 2277 (Figure 5.1), and a local honorarium request form (Figure 5.2). As the Comptroller authorizes all honorariums, payments should be cleared through the Comptroller prior to scheduling the guest speaker. If the honorarium involves research funding, the documents should be routed to the Comptroller, via the Research Administration Office. Approved honorariums are forwarded to the Personnel Support Detachment (PSD) for payment.

Honorariums over $250 per day require approval of the Division Dean. Honorariums exceeding $350 per day must be approved by the Superintendent.

DD Form 1149 Requisition and Invoice/Shipping Document.

(Figure 5.3)

DD Form 1149 form is used for overnight mailing of materials from NPS.

DD Form 1348 Single Line Item Requisition.

(Figures 5.4 & 5.5)

The DD Form 1348 is used to requisition and pay for supplies and equipment procured through government sources; e.g., Navy Supply System, General Services Administration (GSA), etc. When used as a requisition, each line item requires a separat form. The form may also be used to pay for items acquired through local government supply stores, like NPS Ready Supply, and NPS Office Supply Issue.

NPS Open Purchase Requisition Form.

(Figure 5.6)

The Open Purchase Requisition is used to order items not available through government sources, and therefore must be procured commercially. The Purchasing Officer uses the form to prepare the DD Form 1155, Purchase Order. The Purchase Order represents a legal obligation of funds, and is mailed to the vendor by the Purchasing Office.

GPO 689-317, Office Supplies, Turn-in or Request.
(Figure 5.7)

This form is used for requesting items from Office Supply Issue. The document expedites issuance of supplies and is used to subsequently bill cost centers.

NAVFAC 9-11014/8, Material Requirements/Issue Document.
(Figure 5.8)

This form is a preliminary document used to request items from Ready Supply (Ready Supply is similar to a commercial "Cash and Carry" operation). When the document is received by Ready Supply, the request is filled and the requesting activity notified of the total amount. The requesting activity must then use a DD-1348 to pay for and receive the goods.

General Information.

Government regulations stipulate strict guidelines for selecting the suppliers of goods and services. The requisition documents required to order supplies or services, depend upon the source of supply.

Regulations require that the precedence, specified below, be applied in determining source of supply. In other words, the requisitioner must first check to see if items needed are available through excess property. Procuring a item commercially (open purchase) is the supply source of last resort.

1. DOD Excess Property
2. DOD Standard Stock
3. GSA Stores Stock
4. Blind/Handicapped made or Prison Industries
5. GSA Contracts
6. Commercial Source (Open purchase)

Catalogs, or a listing of supplies and services available from each of these sources, can be obtained from the Supply Department. The Supply Department screens all requisitions to ensure that the source and price are correct.

Document Preparation.

The Supply Department publishes and distributes the "Customer Service Manual", which includes purchasing guidelines and instructions for preparing purchase documents.

Part II Document Preparation

While this section will not duplicate the efforts of the Customer Service Manual, procedures for completing NAVCOMPT Form 2277 (Figure 5.1) have been provided. Examples of the following documents are also included:

Memorandum - Payments to Visiting Lecturers/Consultants
(Figure 5.2)

DD Form 1149, Requisition and Invoice/Shipping Document
(Express Mail) (Figure 5.3)

DD 1348, DOD Single Line Item Requisition System Document.
(Figures 5.4 & 5.5)

NPS Open Purchase Requisition Form.
(Figure 5.6)

GPO 689-317, Office Supplies, Turn-in or Request.
(Figure 5.7)

NAVFAC 9-11014/8, Material Requirements/Issue Document.
(Figure 5.8)

HONORARIUMS

NAVCOMPT FORM 2277 - VOUCHER FOR DISBURSEMENT AND/OR COLLECTION

The NAVCOMPT FORM 2277 is a multi-purpose form, often used at NPS to pay Honorariums to guest speakers. Guidelines covering honorariums are contained in NAVPGSCOL Instruction 7200.1E and NAVPGSCOL Notice 7200 dated 14 April, 1989. Like any other purchase, the honorarium must be approved prior to receiving the service. The following information provides amplifying instructions for completing the form. Blocks not covered should be left blank. A sample of a completed form is shown in Figure 5.1.

BLOCK DESCRIPTION

(1) PURPOSE

Place an "X" in the DISB box to indicate the form is being used for a disbursement.

(2) DATE

Enter the date of the request. Honorariums must be authorized in advance of the service, therefore, this date must be prior the to date(s) of service in block 9B.

(3) REFERENCE DOCUMENT NO.

N62271(FY)MD (5-digit serial number)
Example: N6227190MDAB001

(6) FROM:

Department Name and Address.

(8) TO:

Name, Social Security Number, and Address of the guest lecturer. The check will be made payable to the name in this block.

(9A) INVOICE OR ORDER NO.

Leave blank.

(9B) DATE OF DELIVERY/SERVICE

Enter the actual dates of the lecture.

(9C) DESCRIPTION

Enter "Honorarium for Guest Lecture".

(9D) QUANTITY

Enter the number of days for which the guest lecturer will be paid.

(9E) UNIT PRICE

Enter the daily appropriate fee in the COST block (guidelines for this are published in NAVPGSCOLINST 7200.1E and enter "DAY" in the PER block

(9F) AMOUNT

Enter the total Honorarium in this block. It should equal the product of th price (block 9D) and quantity (block 9E).

(9H) TOTAL

Enter the sum of amounts in block 9F.

(10) TYPE OF PAYMENT OR BILL

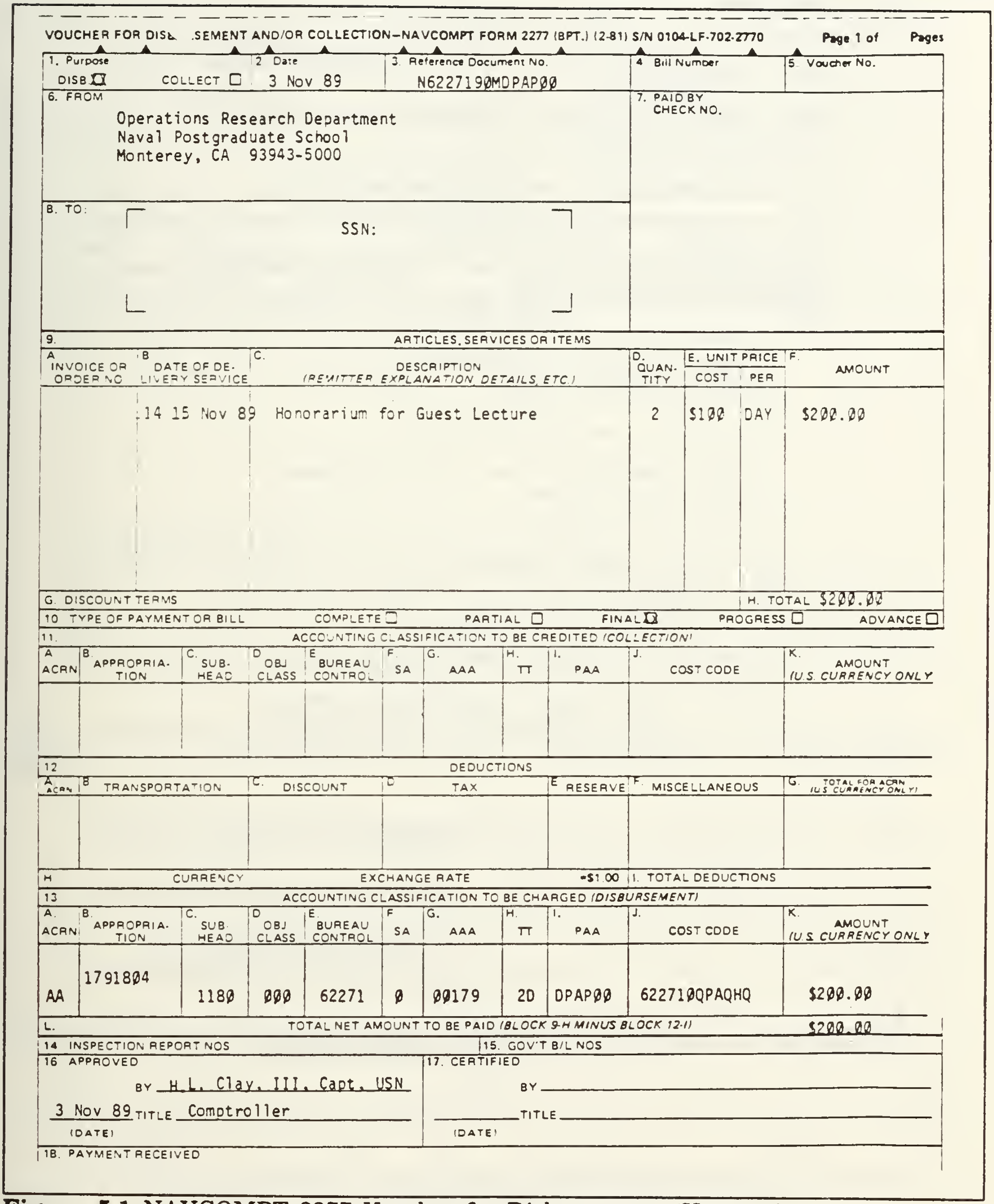
Place an "X" in the FINAL box.

(13) ACCOUNTING CLASSIFICATION TO BE CHARGED

Enter the Accounting data (see the Coding Section) and the appropriate amount to be charged.

(16) APPROVED

Type the Comptroller's name, rank, service, current date, and title; i.e., "Comptroller".



VOUCHER FOR DISBURSEMENT AND/OR COLLECTION—NAVCOMPT FORM 2277 (BPT.) (2-81) S/N 0104-LF-702-2770 Page 1 of Pages

1. Purpose DISB ☒ COLLECT ☐	2. Date 3 Nov 89	3. Reference Document No. N6227190MDPAP00	4. Bill Number	5. Voucher No.

6. FROM

Operations Research Department
Naval Postgraduate School
Monterey, CA 93943-5000

7. PAID BY CHECK NO.

8. TO:

SSN:

9. ARTICLES, SERVICES OR ITEMS

A. INVOICE OR ORDER NO	B. DATE OF DELIVERY SERVICE	C. DESCRIPTION *(REMITTER, EXPLANATION, DETAILS, ETC.)*	D. QUANTITY	E. UNIT PRICE COST	E. UNIT PRICE PER	F. AMOUNT
	14 15 Nov 89	Honorarium for Guest Lecture	2	$100	DAY	$200.00

G. DISCOUNT TERMS | H. TOTAL $200.00

10. TYPE OF PAYMENT OR BILL COMPLETE ☐ PARTIAL ☐ FINAL ☒ PROGRESS ☐ ADVANCE ☐

11. ACCOUNTING CLASSIFICATION TO BE CREDITED *(COLLECTION)*

A. ACRN	B. APPROPRIATION	C. SUB-HEAD	D. OBJ CLASS	E. BUREAU CONTROL	F. SA	G. AAA	H. TT	I. PAA	J. COST CODE	K. AMOUNT *(U.S. CURRENCY ONLY)*

12. DEDUCTIONS

A. ACRN	B. TRANSPORTATION	C. DISCOUNT	D. TAX	E. RESERVE	F. MISCELLANEOUS	G. TOTAL FOR ACRN *(U.S. CURRENCY ONLY)*

H. CURRENCY EXCHANGE RATE =$1.00 | I. TOTAL DEDUCTIONS

13. ACCOUNTING CLASSIFICATION TO BE CHARGED *(DISBURSEMENT)*

A. ACRN	B. APPROPRIATION	C. SUB-HEAD	D. OBJ CLASS	E. BUREAU CONTROL	F. SA	G. AAA	H. TT	I. PAA	J. COST CODE	K. AMOUNT *(U.S. CURRENCY ONLY)*
AA	1791804	1180	000	62271	0	00179	2D	DPAP00	622710QPAQHQ	$200.00

L. TOTAL NET AMOUNT TO BE PAID *(BLOCK 9-H MINUS BLOCK 12-I)* $200.00

14. INSPECTION REPORT NOS | 15. GOV'T B/L NOS

16. APPROVED

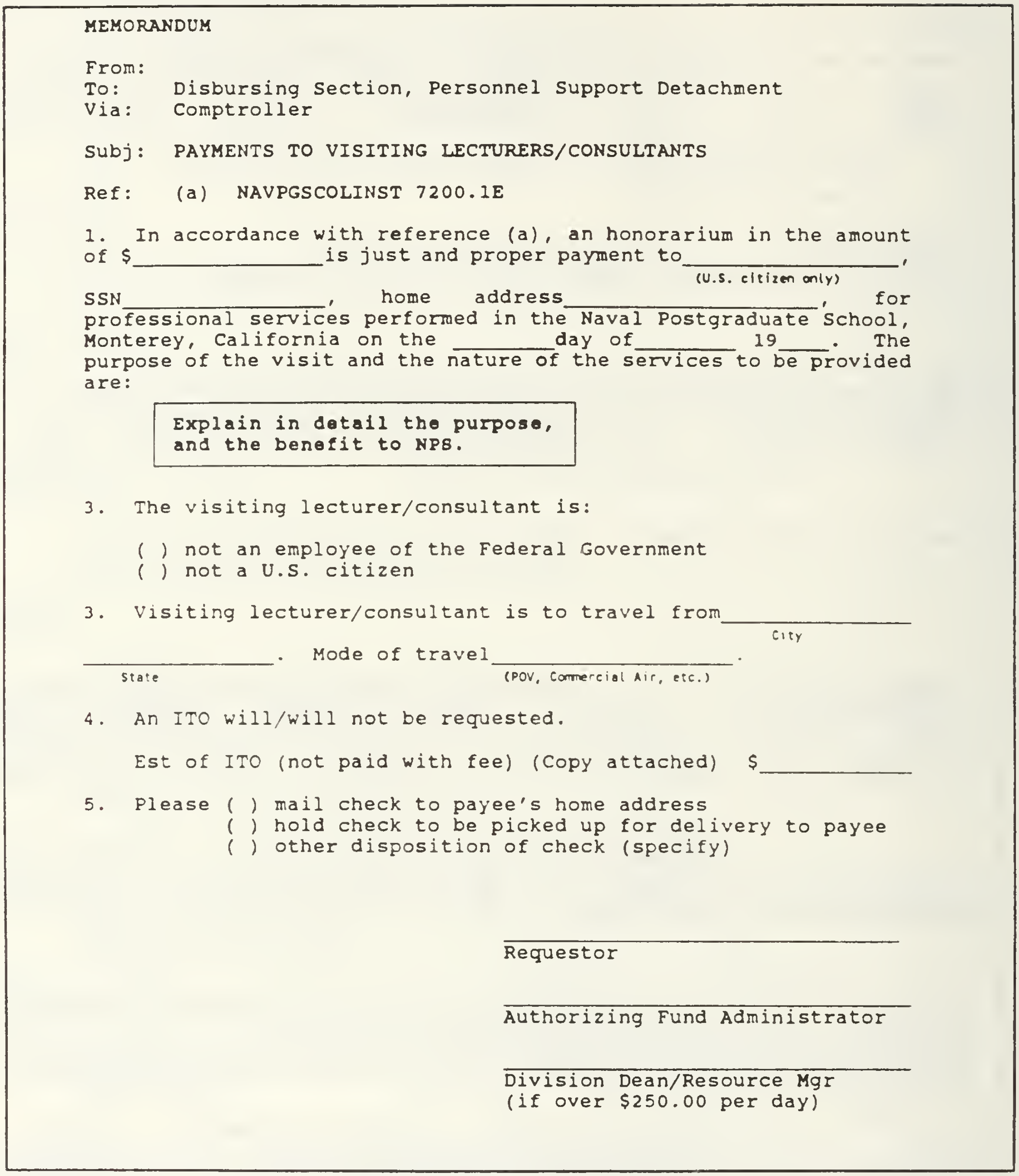
BY H.L. Clay, III, Capt, USN
3 Nov 89 TITLE Comptroller
(DATE)

17. CERTIFIED

BY ______
______ TITLE ______
(DATE)

18. PAYMENT RECEIVED

Figure 5.1 NAVCOMPT 2277 Voucher for Disbursement (Honorariums)



MEMORANDUM

From:
To: Disbursing Section, Personnel Support Detachment
Via: Comptroller

Subj: PAYMENTS TO VISITING LECTURERS/CONSULTANTS

Ref: (a) NAVPGSCOLINST 7200.1E

1. In accordance with reference (a), an honorarium in the amount of $_______________ is just and proper payment to _________________, (U.S. citizen only) SSN________________, home address____________________, for professional services performed in the Naval Postgraduate School, Monterey, California on the ________ day of ________ 19____. The purpose of the visit and the nature of the services to be provided are:

Explain in detail the purpose, and the benefit to NPS.

3. The visiting lecturer/consultant is:

( ) not an employee of the Federal Government
( ) not a U.S. citizen

3. Visiting lecturer/consultant is to travel from _______________ (City) _______________ (State). Mode of travel ___________________ (POV, Commercial Air, etc.).

4. An ITO will/will not be requested.

Est of ITO (not paid with fee) (Copy attached) $____________

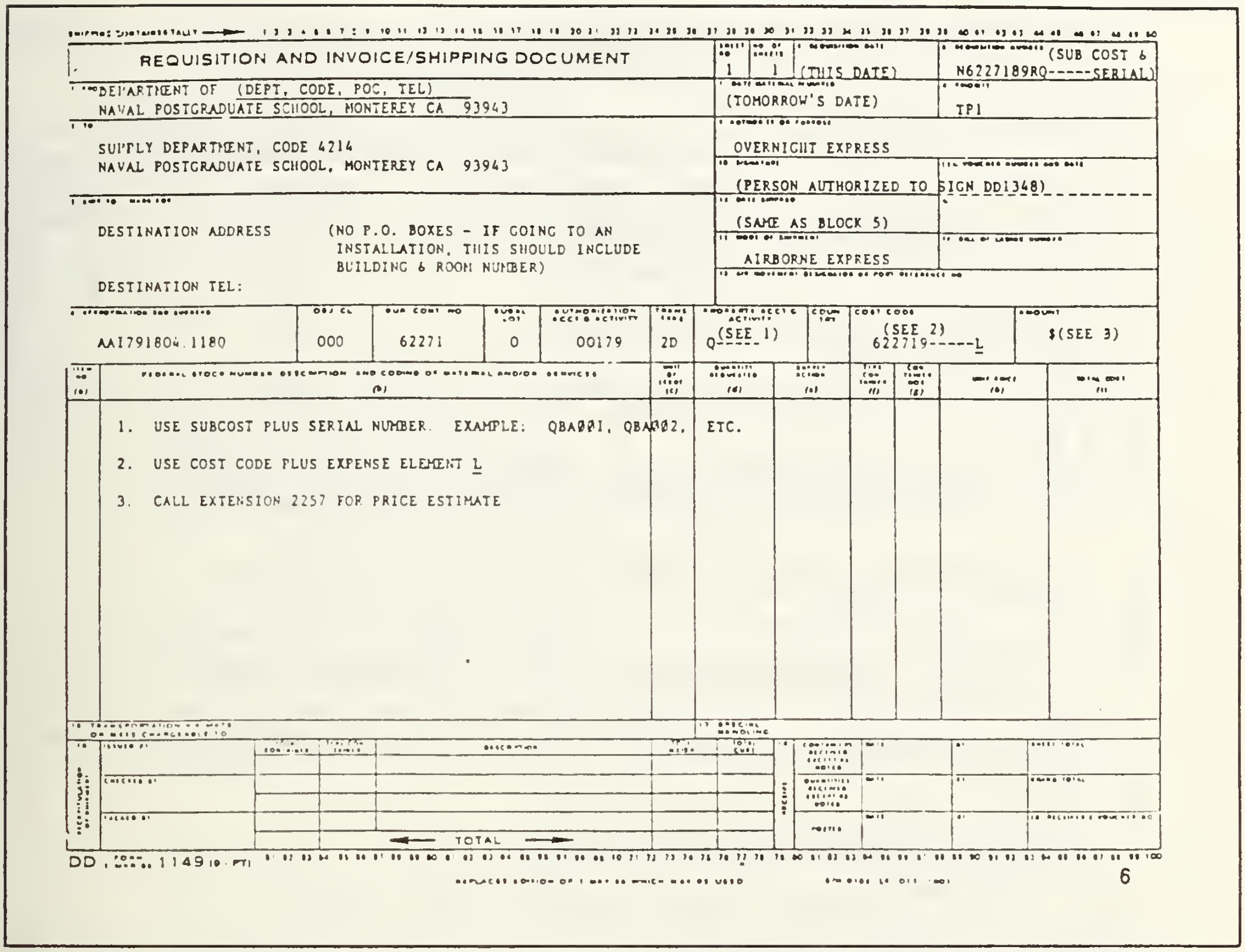
5. Please ( ) mail check to payee's home address
( ) hold check to be picked up for delivery to payee
( ) other disposition of check (specify)

____
Requestor

____
Authorizing Fund Administrator

____
Division Dean/Resource Mgr
(if over $250.00 per day)

Figure 5.2 Payments to Visiting Lecturers/Consultants



REQUISITION AND INVOICE/SHIPPING DOCUMENT

1 1 (THIS DATE)
(SUB COST 6 N6227189RQ-----SERIAL)

DEPARTMENT OF (DEPT, CODE, POC, TEL)
NAVAL POSTGRADUATE SCHOOL, MONTEREY CA 93943

(TOMORROW'S DATE)
TP1

SUPPLY DEPARTMENT, CODE 4214
NAVAL POSTGRADUATE SCHOOL, MONTEREY CA 93943

OVERNIGHT EXPRESS

(PERSON AUTHORIZED TO SIGN DD1348)

DESTINATION ADDRESS (NO P.O. BOXES - IF GOING TO AN INSTALLATION, THIS SHOULD INCLUDE BUILDING 6 ROOM NUMBER)

DESTINATION TEL:

(SAME AS BLOCK 5)

AIRBORNE EXPRESS

AA1791804.1180 000 62271 0 00179 2D Q(SEE 1) (SEE 2) 622719-----L $(SEE 3)

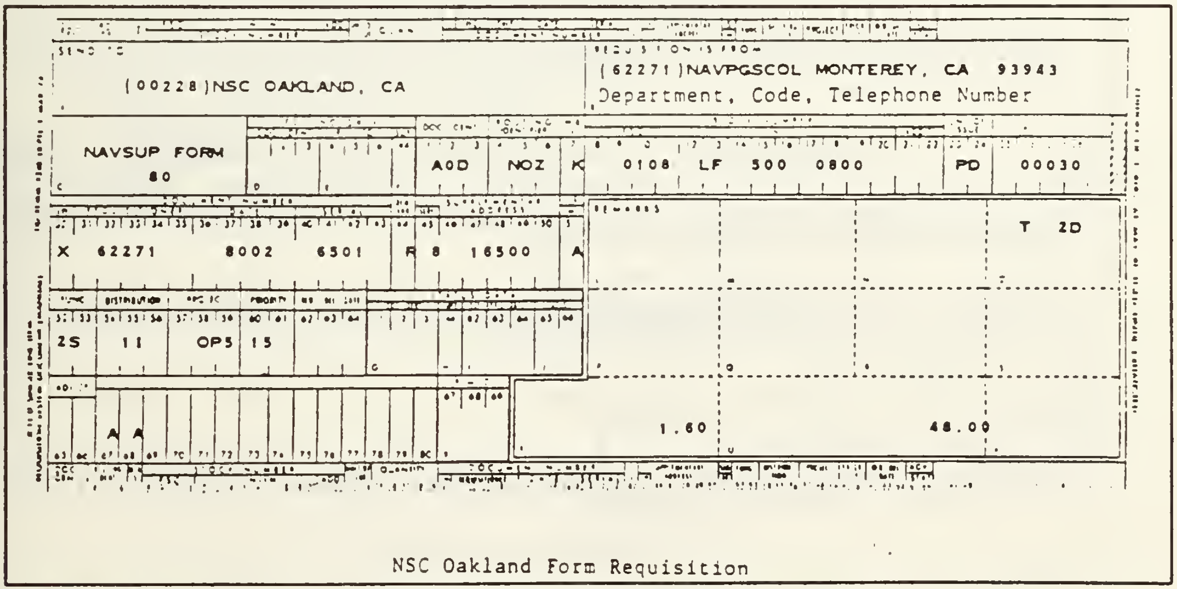
1. USE SUBCOST PLUS SERIAL NUMBER. EXAMPLE: QBA001, QBA002, ETC.
2. USE COST CODE PLUS EXPENSE ELEMENT L
3. CALL EXTENSION 2257 FOR PRICE ESTIMATE

TOTAL

DD 1149

6

Figure 5.3 DD Form 1149 Requisition and Invoice/Shipping Document (Express Mail)



(00228)NSC OAKLAND, CA

(62271)NAVPGSCOL MONTEREY, CA 93943
Department, Code, Telephone Number

NAVSUP FORM 80

A0D NOZ K 0108 LF 500 0800 PD 00030

X 62271 8002 6501 R 8 16500 A

T 2D

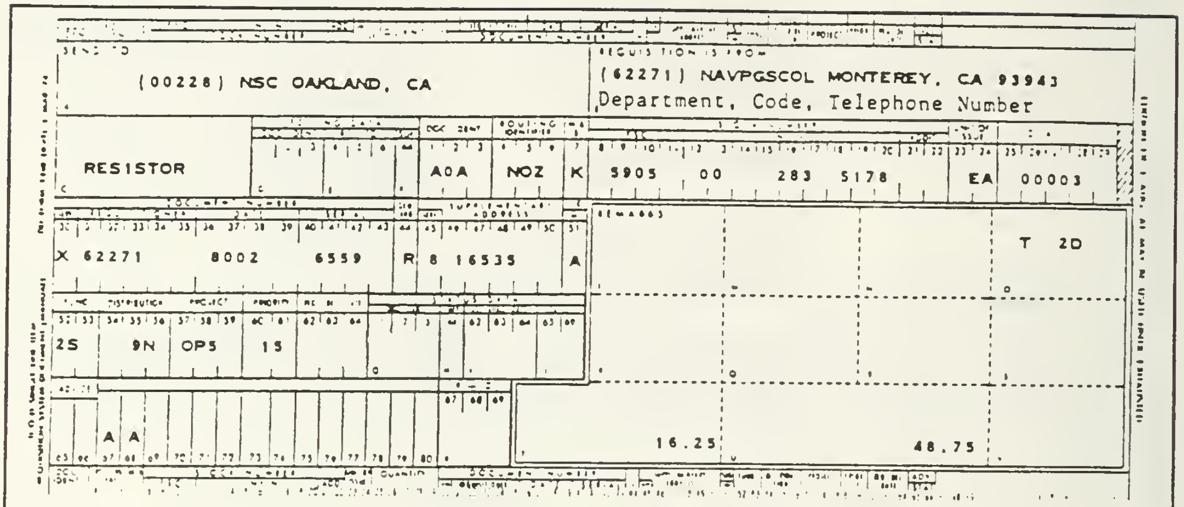
2S 11 OP5 15

A A

1.60 48.00

NSC Oakland Form Requisition

Figure 5.4 DD 1348 - DOD Single Line Item Requisition



SEND TO

(00228) NSC OAKLAND, CA

REQUISITION IS FROM

(62271) NAVPGSCOL MONTEREY, CA 93943

Department, Code, Telephone Number

RESISTOR

A0A NOZ K 5905 00 283 5178 EA 00003

X 62271 8002 6559 R 8 16535 A

REMARKS

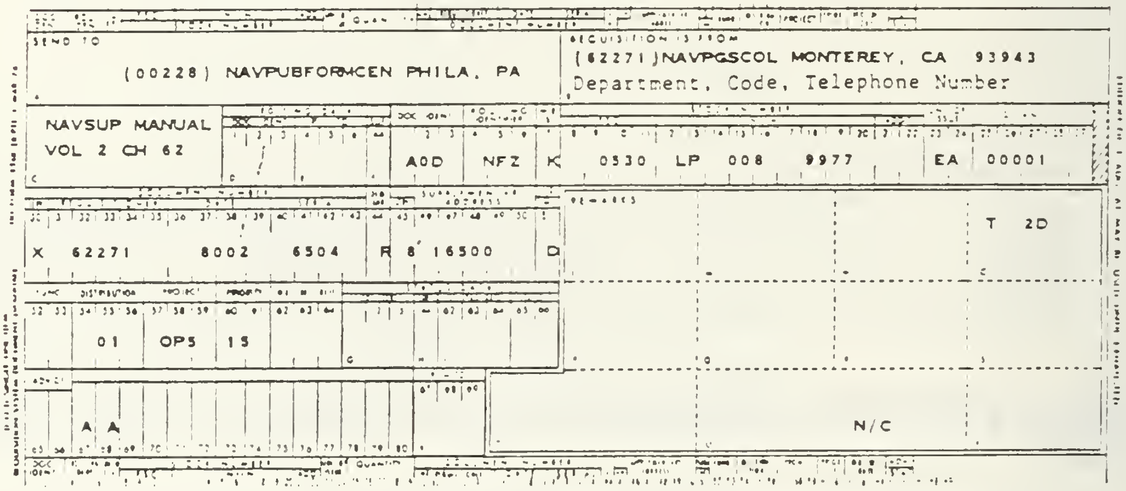
T 2D

2S 9N OPS 15

A A

16.25 48.75

NSC Oakland DoD Standard Stock Requisition



SEND TO

(00228) NAVPUBFORMCEN PHILA, PA

REQUISITION IS FROM

(62271)NAVPGSCOL MONTEREY, CA 93943

Department, Code, Telephone Number

NAVSUP MANUAL
VOL 2 CH 62

A0D NFZ K 0530 LP 008 9977 EA 00001

X 62271 8002 6504 R 8 16500 D

REMARKS

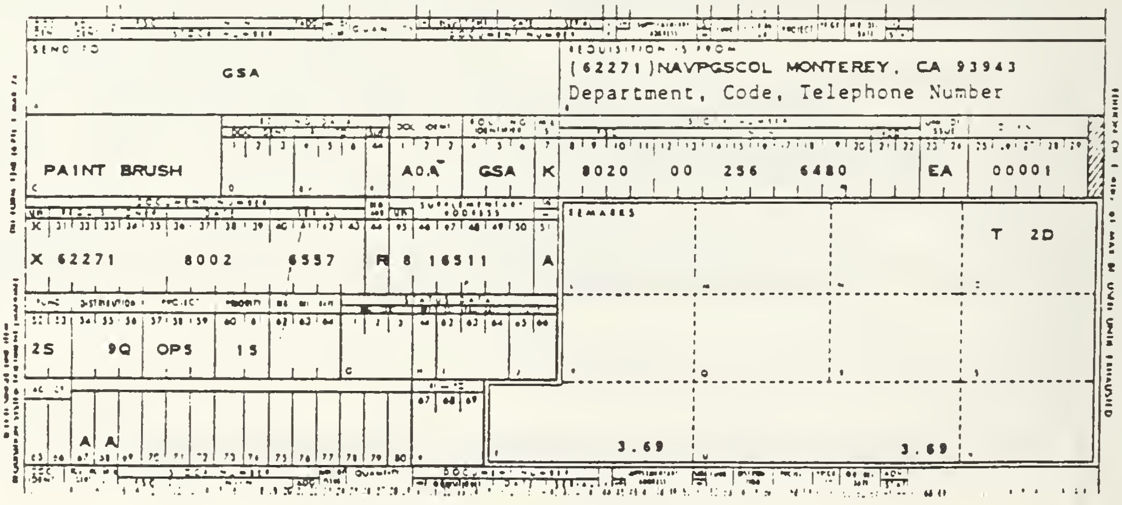
T 2D

01 OPS 15

A A

N/C

NAVPUBFORMCEN Publication Requisition



SEND TO

GSA

REQUISITION IS FROM

(62271)NAVPGSCOL MONTEREY, CA 93943

Department, Code, Telephone Number

PAINT BRUSH

A0A GSA K 8020 00 256 6480 EA 00001

X 62271 8002 6557 R 8 16511 A

REMARKS

T 2D

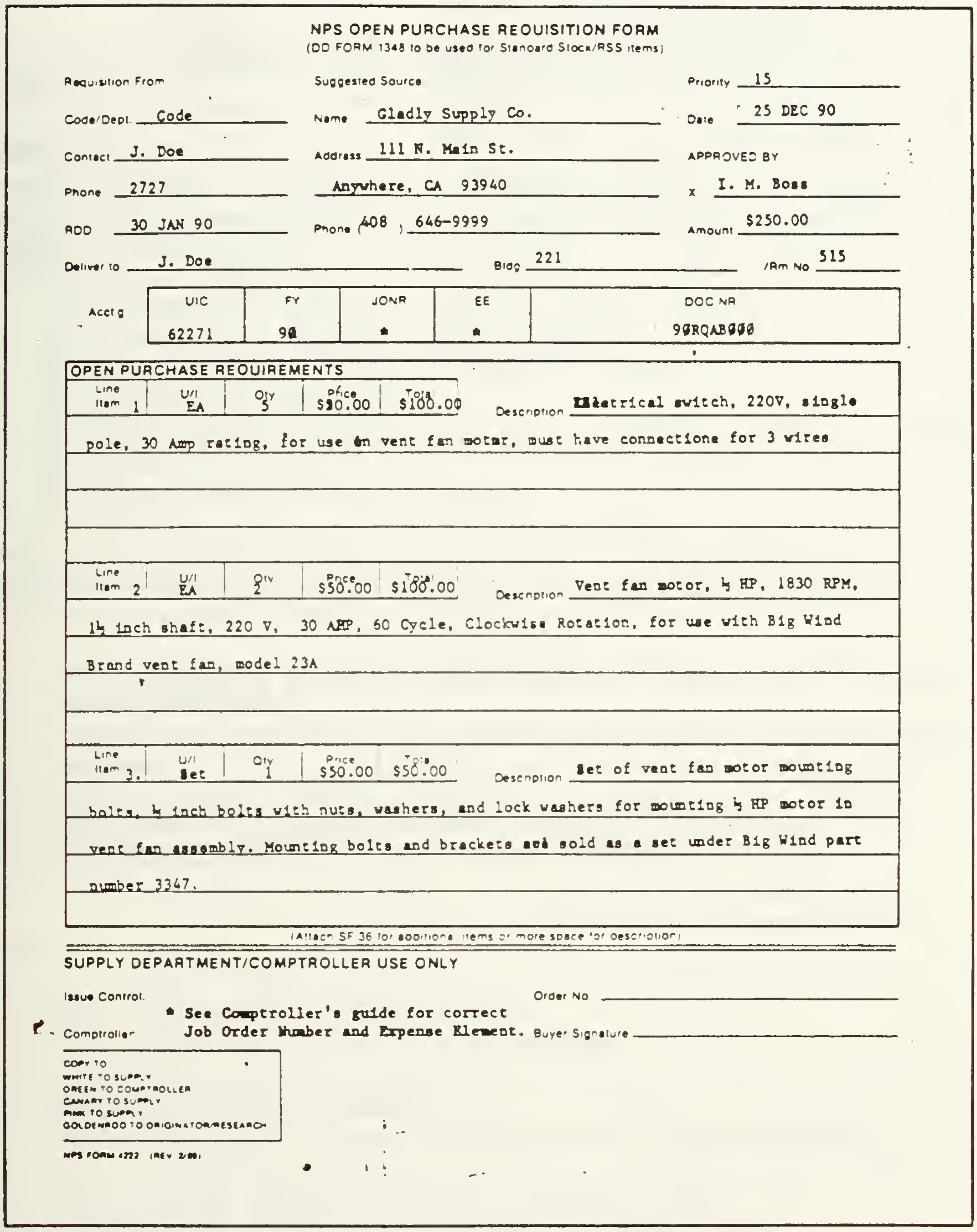
2S 9Q OPS 15

A A

3.69 3.69

GSA Standard Stock Requisition

Figure 5.5 DD 1348 - DOD Single Line Item Requisition



NPS OPEN PURCHASE REQUISITION FORM
(DD FORM 1348 to be used for Standard Stock/RSS items)

Requisition From
Code/Dept. Code
Contact J. Doe
Phone 2727
RDD 30 JAN 90
Deliver to J. Doe

Suggested Source
Name Gladly Supply Co.
Address 111 N. Main St.
Anywhere, CA 93940
Phone (408) 646-9999

Priority 15
Date 25 DEC 90
APPROVED BY
x I. M. Boss
Amount $250.00

Bldg 221
/Rm No 515

Acct g

UIC	FY	JONR	EE	DOC NR
62271	90	*	*	90RQAB000

OPEN PURCHASE REQUIREMENTS

Line Item	U/I	Qty	Price	Total
1	EA	5	$30.00	$100.00

Description Electrical switch, 220V, single pole, 30 Amp rating, for use on vent fan motor, must have connectione for 3 wires

Line Item	U/I	Qty	Price	Total
2	EA	2	$50.00	$100.00

Description Vent fan motor, ½ HP, 1830 RPM, 1½ inch shaft, 220 V, 30 AMP, 60 Cycle, Clockwise Rotation, for use with Big Wind Brand vent fan, model 23A

Line Item	U/I	Qty	Price	Total
3.	Set	1	$50.00	$50.00

Description Set of vent fan motor mounting bolts, ½ inch bolts with nuts, washers, and lock washers for mounting ½ HP motor in vent fan assembly. Mounting bolts and brackets are sold as a set under Big Wind part number 3347.

(Attach SF 36 for additional items or more space for description)

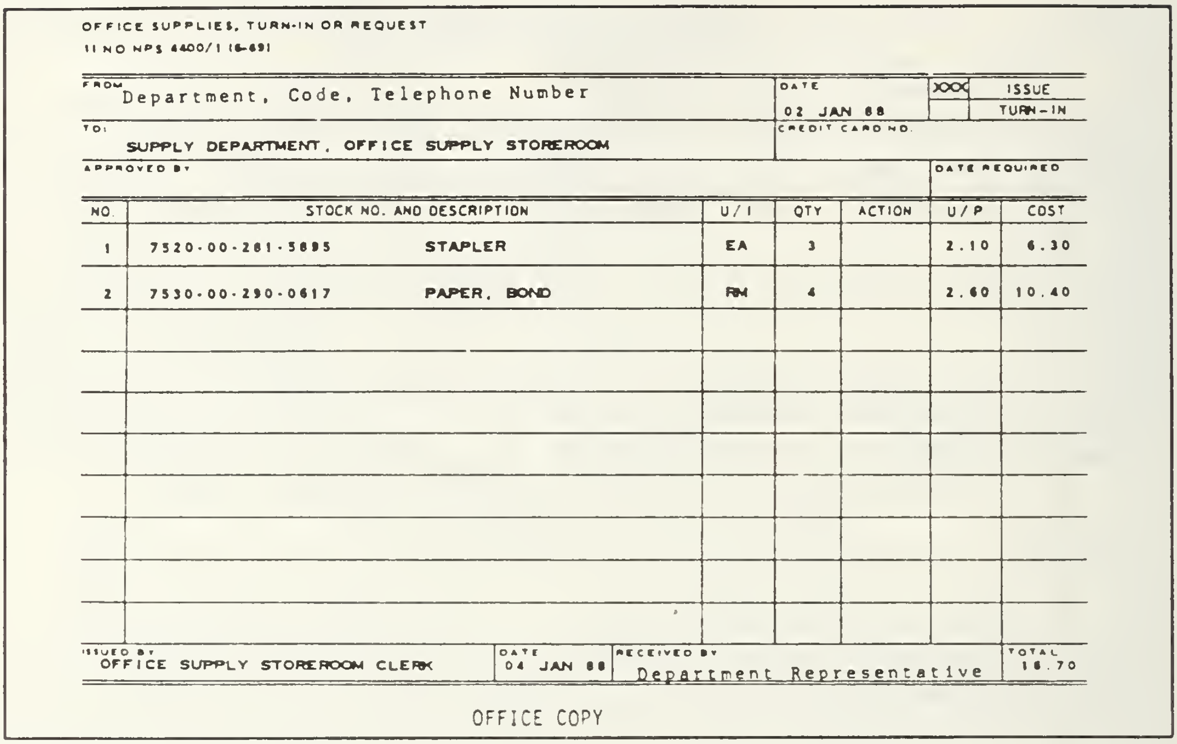
SUPPLY DEPARTMENT/COMPTROLLER USE ONLY

Issue Control.
Order No
Comptroller
* See Comptroller's guide for correct Job Order Number and Expense Element.
Buyer Signature

COPY TO
WHITE TO SUPPLY
GREEN TO COMPTROLLER
CANARY TO SUPPLY
PINK TO SUPPLY
GOLDENROD TO ORIGINATOR/RESEARCH

NPS FORM 4222 (REV 2/88)

Figure 5.6 NPS Open Purchase Requisition Form



OFFICE SUPPLIES, TURN-IN OR REQUEST
11 NO NPS 4400/1 (6-69)

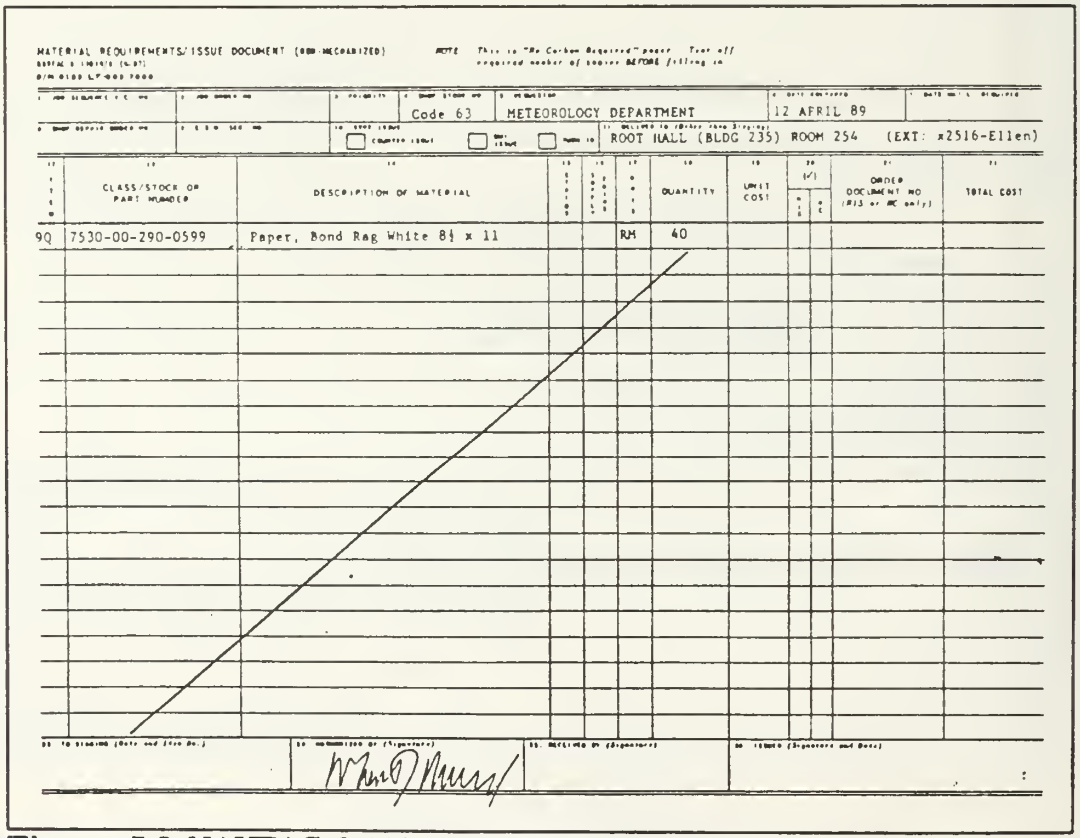
FROM Department, Code, Telephone Number
DATE 02 JAN 88
XXX ISSUE
TURN-IN
TO: SUPPLY DEPARTMENT, OFFICE SUPPLY STOREROOM
CREDIT CARD NO.
APPROVED BY
DATE REQUIRED

NO.	STOCK NO. AND DESCRIPTION	U/I	QTY	ACTION	U/P	COST
1	7520-00-281-5895 STAPLER	EA	3		2.10	6.30
2	7530-00-290-0617 PAPER, BOND	RM	4		2.60	10.40

ISSUED BY OFFICE SUPPLY STOREROOM CLERK
DATE 04 JAN 88
RECEIVED BY Department Representative
TOTAL 16.70

OFFICE COPY

Figure 5.7 GPO 689-317, Office Supplies, Turn-In or Request



MATERIAL REQUIREMENTS/ISSUE DOCUMENT (NON-MECHANIZED)

Code 63
METEOROLOGY DEPARTMENT
12 APRIL 89
☐ ☐ ☐
ROOT HALL (BLDG 235) ROOM 254 (EXT: x2516-Ellen)

	CLASS/STOCK OR PART NUMBER	DESCRIPTION OF MATERIAL				QUANTITY	UNIT COST	(✓)	ORDER DOCUMENT NO	TOTAL COST
9Q	7530-00-290-0599	Paper, Bond Rag White 8½ x 11			RM	40				

Figure 5.8 NAVFAC 9-11014/8, Material Requirements/Issue Document

CHAPTER 6

TRAVEL DOCUMENTS

Introduction.

Several documents exist which deal with the obligation and expenditure of funds for travel purposes. These include:

(1) **NAVPERS-1320 TEMADD Military Travel Order.**
(2) **DD Form 1610 Civilian Travel Order.**
(3) **NAVSO 4650/10 Invitational Travel Order.**
(4) **Fund Cite Authorization.**
(5) **SF 1164 Claim for Reimbursement for Expenditures on Official Business.**
(6) **DD Form 1351-2 Travel Voucher.**

In addition, several forms and messages assist in the preparation of travel documents, expedite claims for travel reimbursement or provide approval for foreign travel:

(7) **Travel Request**
(8) **Travel Worksheet**
(worksheet titles and formats may vary from one department to another)
(9) **Passenger Reservation Request**
(10) **Worksheet for Reimbursement of Travel Expenses**
(11) **Visit Notification or Area Clearance Request**

References.

(1) **Joint Federal Travel Regulations**
Sets forth Federal Travel Entitlements.

(2) **NAVPGSCOLINST 4650.4B**
Policy for Official Travel Performed By NPS Personnel.

(3) **NAVPGSCOL NOTICE 5050 of 27 April 1989**
Reduction in Military and Civilian Travel Costs.

(4) **NPS Travel/Country Clearance Handbook**
Travel document preparation procedures for travel outside CONUS.

Part II Document Preparation

Document Description.

NAVPERS 1320/DD Form 1610 - Military/Civilian Travel Orders.
(Figures 6.6, 6.7,& 6.8)

TAD Travel Orders officially authorize travel for military or civilian DOD personnel required to perform temporary duty outside of the local area. Individuals requiring travel usually provide specific travel information on the Travel Worksheet and Passenger Reservation Request. This information is then transferred to the Travel Order by the department's travel clerk.

NAVSO 4650/10 - Invitational Travel Orders (ITO).
(Figures 6.9 & 6.10)

Invitational Travel Orders are issued to persons not employed by the government. For example, an ITO might be used to pay the travel expense of a visiting guest speaker. Travel advances are not authorized for this type of travel order.

Fund Cite Authorization (FCA).
(Figures 6.11 & 6.12)

Fund Cite Authorizations allow NPS funds to pay the travel expenses of personnel assigned to other activities. For example, assume the Naval Postgraduate School were to invite a DOD employee to travel to Monterey and assist in a research project. NPS would send a Fund Cite Authorization to the visitor's employer, detailing the accounting data for the employer to use on the visitor's Travel Order. A budget analyst, at the Naval Postgraduate School, would enter the accounting data into the local and Navy accounting systems to record the obligation. The activity, which eventually settles the claim, enters the expenditure into the Navy accounting system using the NPS accounting data cited on the visitor's Travel Order. This records the actual travel expense against the obligation previously established.

SF 1164 - Claim for Reimbursement for Expenditures on Official Travel.
(Figure 6.15)

This document is for local area travel and other routine expenses. It is used in situations when official travel orders are not required. For example, if a government vehicle was not available and someone used their private automobile for official business, this form would be submitted, in lieu of a travel voucher, to reimburse the individual for his or her out-of-pocket expenses.

DD Form 1351-2 - Travel Voucher.
(Figures 6.16 & 6.17)

Travel Vouchers are submitted for the reimbursement of travel claims incident to official travel. The information provided on this form, such as actual transportation costs, lodging, and meal expense, enables the government to adequately compensate an individual for personal expenses incurred while acting in an official capacity.

Travel Request.
(Figure 6.5)

In accordance with NAVPGSCOLINST 4650.4B, a "Travel Request Form" must accompany all travel orders, including Invitational Travel Orders (ITO), whether at cost or no cost to the government. This form will remain on file in the Comptroller's Office for internal/external audits. The form contains many of the same elements various departments use on their Travel Request Worksheets.

Travel Worksheet/Passenger Reservation Request/ Worksheet for Reimbursement of Travel Expenses/Visit Notification.
(Figures 6.1, 6.2, 6.3, & 6.4)

The worksheets and PRR are locally developed forms which assist in the preparation of official travel documents.

A Visit Notification (Figure 6.4) or Area Clearance Request is required for travel outside of the continental United States (CONUS). The NPS Travel/Country Clearance Handbook contains information regarding the preparation of the required letters and messages. When completed, submit the message draft or letter to the Director of Programs, Administrative Officer (Code 032), via the appropriate Dean, for further routing and approval.

General Information.

In addition to the travel information provided in Part III - Document Processing; the following brief summary is provided to assist in the preparation and routing of travel documents:

Cost/Sub-Cost Centers.

1. The "Travel Request Form" is originated by the traveler to allow the approving official to review and certify travel, and to enable clerical personnel to complete the necessary official travel documents.

2. Submit one copy of the Travel Request Form, appropriate travel orders, copy of Passenger Reservation Request (if applicable) and other supporting documents as follows:

A. If research funds are used to support travel, submit travel orders to the Research Administration Office who will forward the orders to either:

(1) the mezzanine, if signatures are required at that level,

or

(2) the appropriate division in the comptroller's office (Reimbursable Division for reimbursable research; Operating Budget Division for direct funded research.)

B. If O&M,N (OPTAR) funds are used, submit travel orders to the Operating Budget Division Edit Clerk.

C. If reimbursable funds are used, submit travel orders to the Reimbursable Accounts Division.

3. When airline tickets or car rental is required, complete the Passenger Reservation Request, and forward an advance copy to the PSD Transportation Office.

4. All travel orders require one (1) original and at least seven (7) copies. The copies are provided to the following offices:

1 copy = department
1 copy = 002 (obligation)
1 copy = 002T (travel clerk)
1 copy = 012 (Research Admin.) if required
1 copy = SATO
2 copies = PSD (claims)

Keep in mind that the Personnel Support Detachment and NPS Comptroller do not levy these requirements without reason. Copies of vouchers, receipts and memorandums must be maintained at PSD and NPS to establish an audit trail. If a particular requirement seems unreasonable, it may be directed from a higher authority for a specific purpose.

Comptroller.

1. The appropriate comptroller division reviews the travel orders for correct accounting and availability of funds, and then forwards the documents to the Travel Clerk.

2. The Comptroller Department Travel Clerk reviews travel orders for compliance with the Joint Travel Regulations (JTRs) and submission of appropriate documentation, and then submits the paperwork to the Comptroller for signature. Travel orders that do not require tickets and/or a travel advance are then returned to the department. Travel orders requiring checks for a travel advance, airline tickets, or car rental are forwarded to the Personnel Support Detachment.

Personnel Support Detachment.

Claims and Vouchers Division.

The Claims and Vouchers Division prepares travel advance checks for pickup by the traveler or department. Advance checks will be available no earlier than three working days prior to date of departure. If advance registration fees are required, indicate on the travel order the actual date required.

Transportation Division.

The Transportation Division prepares airline tickets for pickup by the traveler or department.

Document Preparation.

This section provides the procedures and examples necessary to prepare the following travel documents:

Travel Worksheets/Passenger Reservation Request/Visit Notification
(Foreign Clearance)
(Figures 6.1, 6.2, 6.3 and 6.4)

Travel Request Form
(Figure 6.5)

Civilian Travel- DD1610 Civilian Travel Orders
(Figures 6.6 and 6.7)

Military Travel - Navpers 1320 TEMADD Travel Order
(Figure 6.8)

Invitational Travel Order - NAVSO 4150/10
(Figures 6.9 and 6.10)

Fund Cite Authorizations
(Figures 6.11 and 6.12)

Group Travel (cost)
(Figure 6.13)

Group Travel (no-cost)
(Figure 6.14)

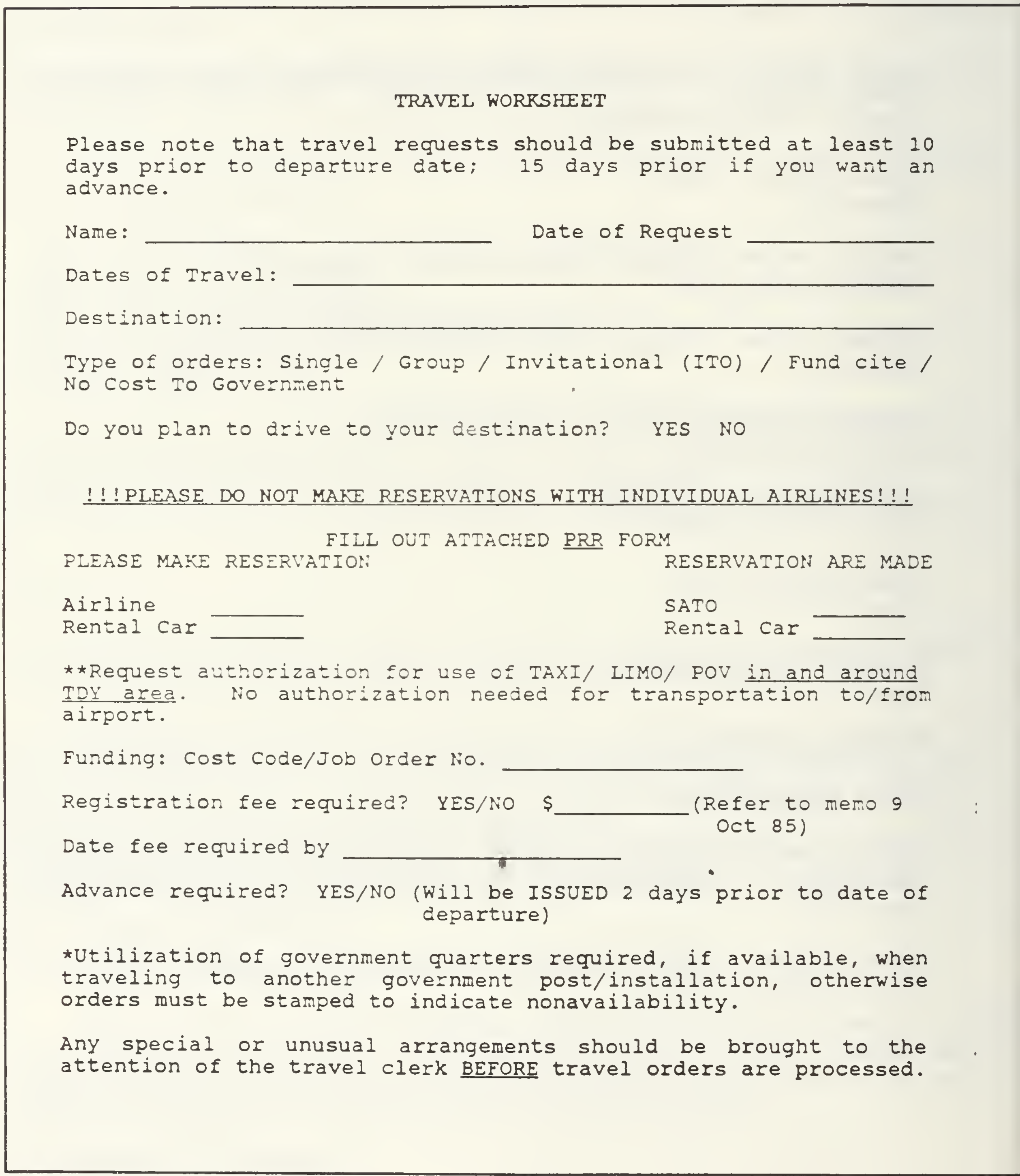
Travel Amendments

Travel Cancellations

Local travel of less than 10 hours involving no payment of per diem - SF 1164 Claim for Reimbursement for Expenditure on Official Business
(Figure 6.15)

Travel Claims - DD Form 1351-2 Travel Voucher or Subvoucher
(Figures 6.16 and 6.17)

TRAVEL WORKSHEETS/PASSENGER RESERVATION REQUEST/VISIT NOTIFICATION



TRAVEL WORKSHEET

Please note that travel requests should be submitted at least 10 days prior to departure date; 15 days prior if you want an advance.

Name: ______________________ Date of Request ____________

Dates of Travel: ____

Destination: ____

Type of orders: Single / Group / Invitational (ITO) / Fund cite / No Cost To Government

Do you plan to drive to your destination? YES NO

!!!PLEASE DO NOT MAKE RESERVATIONS WITH INDIVIDUAL AIRLINES!!!

FILL OUT ATTACHED PRR FORM

PLEASE MAKE RESERVATION		RESERVATION ARE MADE	
Airline	______	SATO	______
Rental Car	______	Rental Car	______

**Request authorization for use of TAXI/ LIMO/ POV in and around TDY area. No authorization needed for transportation to/from airport.

Funding: Cost Code/Job Order No. ________________

Registration fee required? YES/NO $_________ (Refer to memo 9 Oct 85)

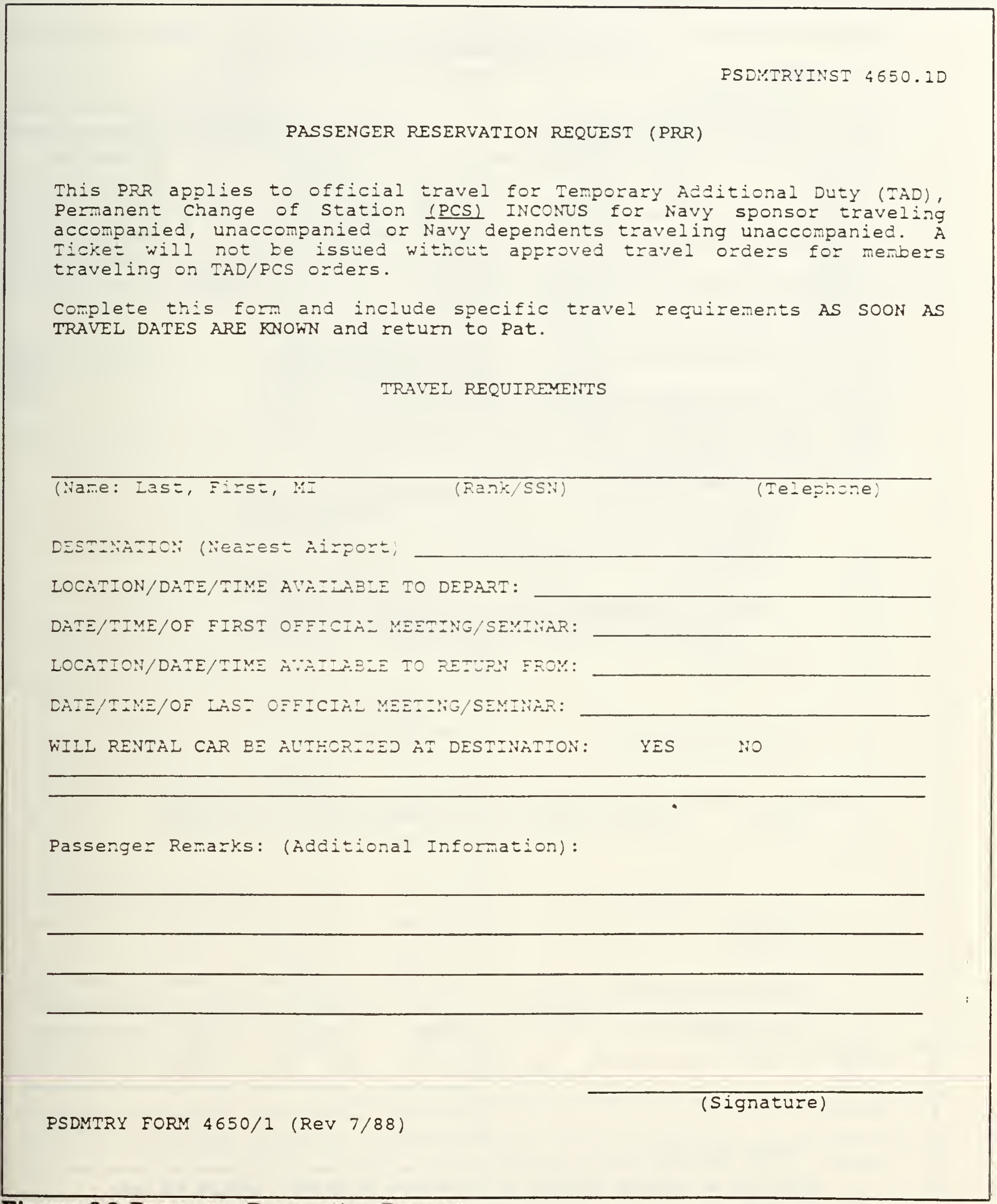
Date fee required by ____________________

Advance required? YES/NO (Will be ISSUED 2 days prior to date of departure)

*Utilization of government quarters required, if available, when traveling to another government post/installation, otherwise orders must be stamped to indicate nonavailability.

Any special or unusual arrangements should be brought to the attention of the travel clerk BEFORE travel orders are processed.

Figure 6.1 Travel Worksheet



PSDMTRYINST 4650.1D

PASSENGER RESERVATION REQUEST (PRR)

This PRR applies to official travel for Temporary Additional Duty (TAD), Permanent Change of Station (PCS) INCONUS for Navy sponsor traveling accompanied, unaccompanied or Navy dependents traveling unaccompanied. A Ticket will not be issued without approved travel orders for members traveling on TAD/PCS orders.

Complete this form and include specific travel requirements AS SOON AS TRAVEL DATES ARE KNOWN and return to Pat.

TRAVEL REQUIREMENTS

(Name: Last, First, MI (Rank/SSN) (Telephone)

DESTINATION (Nearest Airport)

LOCATION/DATE/TIME AVAILABLE TO DEPART:

DATE/TIME/OF FIRST OFFICIAL MEETING/SEMINAR:

LOCATION/DATE/TIME AVAILABLE TO RETURN FROM:

DATE/TIME/OF LAST OFFICIAL MEETING/SEMINAR:

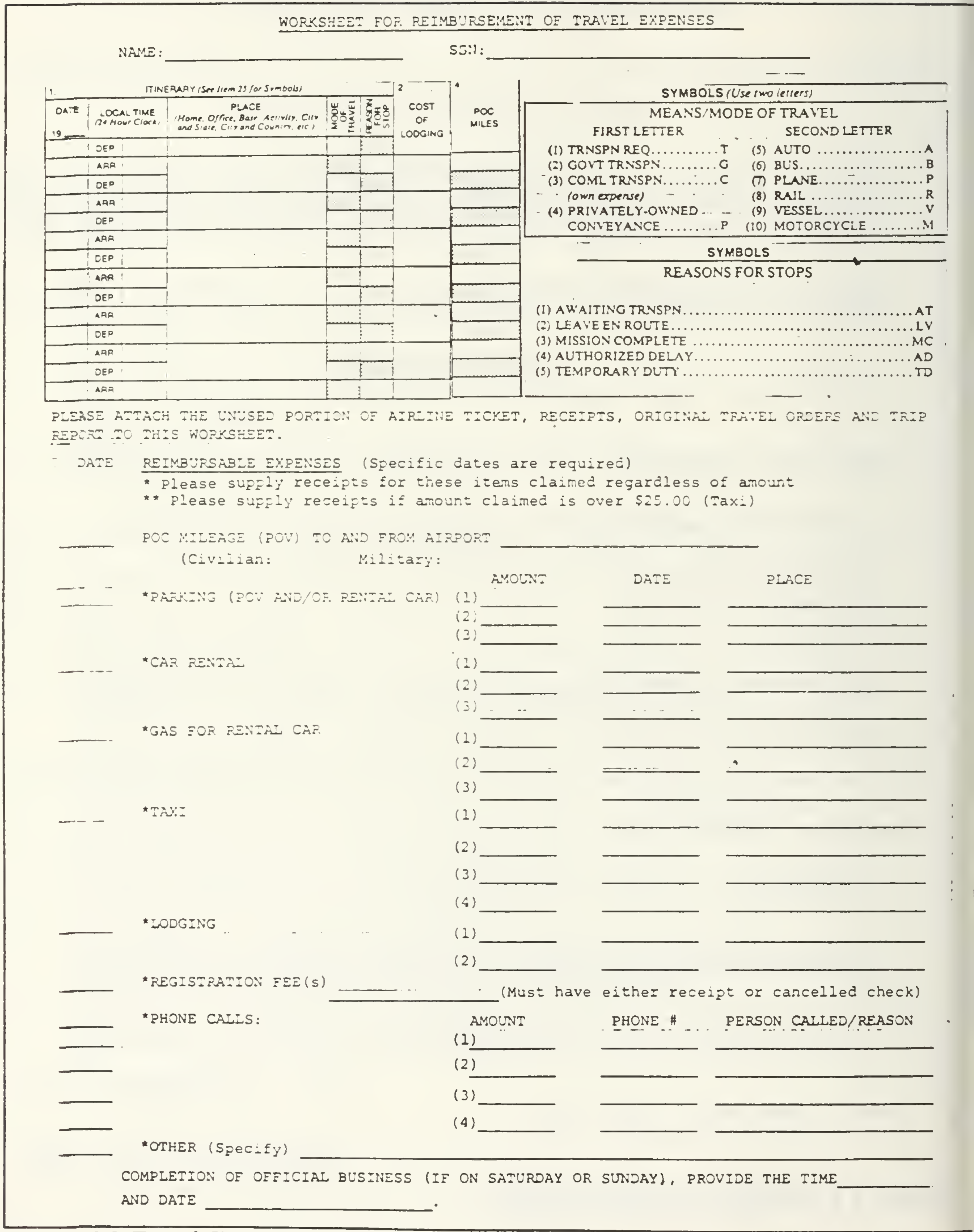
WILL RENTAL CAR BE AUTHORIZED AT DESTINATION: YES NO

Passenger Remarks: (Additional Information):

(Signature)

PSDMTRY FORM 4650/1 (Rev 7/88)

Figure 6.2 Passenger Reservation Request



WORKSHEET FOR REIMBURSEMENT OF TRAVEL EXPENSES

NAME: ______________________ SSN: ______________________

1. ITINERARY *(See Item 25 for Symbols)*					2 COST OF LODGING	4 POC MILES
DATE 19__	LOCAL TIME *(24 Hour Clock)*	PLACE *(Home, Office, Base, Activity, City and State, City and Country, etc.)*	MODE OF TRAVEL	REASON FOR STOP		
	DEP					
	ARR					
	DEP					
	ARR					
	DEP					
	ARR					
	DEP					
	ARR					
	DEP					
	ARR					
	DEP					
	ARR					
	DEP					
	ARR					

SYMBOLS *(Use two letters)*

MEANS/MODE OF TRAVEL

FIRST LETTER		SECOND LETTER	
(1) TRNSPN REQ	T	(5) AUTO	A
(2) GOVT TRNSPN	G	(6) BUS	B
(3) COML TRNSPN *(own expense)*	C	(7) PLANE	P
(4) PRIVATELY-OWNED CONVEYANCE	P	(8) RAIL	R
		(9) VESSEL	V
		(10) MOTORCYCLE	M

SYMBOLS

REASONS FOR STOPS

(1) AWAITING TRNSPN	AT
(2) LEAVE EN ROUTE	LV
(3) MISSION COMPLETE	MC
(4) AUTHORIZED DELAY	AD
(5) TEMPORARY DUTY	TD

PLEASE ATTACH THE UNUSED PORTION OF AIRLINE TICKET, RECEIPTS, ORIGINAL TRAVEL ORDERS AND TRIP REPORT TO THIS WORKSHEET.

DATE REIMBURSABLE EXPENSES (Specific dates are required)
* Please supply receipts for these items claimed regardless of amount
** Please supply receipts if amount claimed is over $25.00 (Taxi)

_____ POC MILEAGE (POV) TO AND FROM AIRPORT ______________________
(Civilian: Military:

DATE	EXPENSE		AMOUNT	DATE	PLACE
_____	*PARKING (POV AND/OR RENTAL CAR)	(1)	_____	_____	_____
		(2)	_____	_____	_____
		(3)	_____	_____	_____
_____	*CAR RENTAL	(1)	_____	_____	_____
		(2)	_____	_____	_____
		(3)	_____	_____	_____
_____	*GAS FOR RENTAL CAR	(1)	_____	_____	_____
		(2)	_____	_____	_____
		(3)	_____	_____	_____
_____	*TAXI	(1)	_____	_____	_____
		(2)	_____	_____	_____
		(3)	_____	_____	_____
		(4)	_____	_____	_____
_____	*LODGING	(1)	_____	_____	_____
		(2)	_____	_____	_____

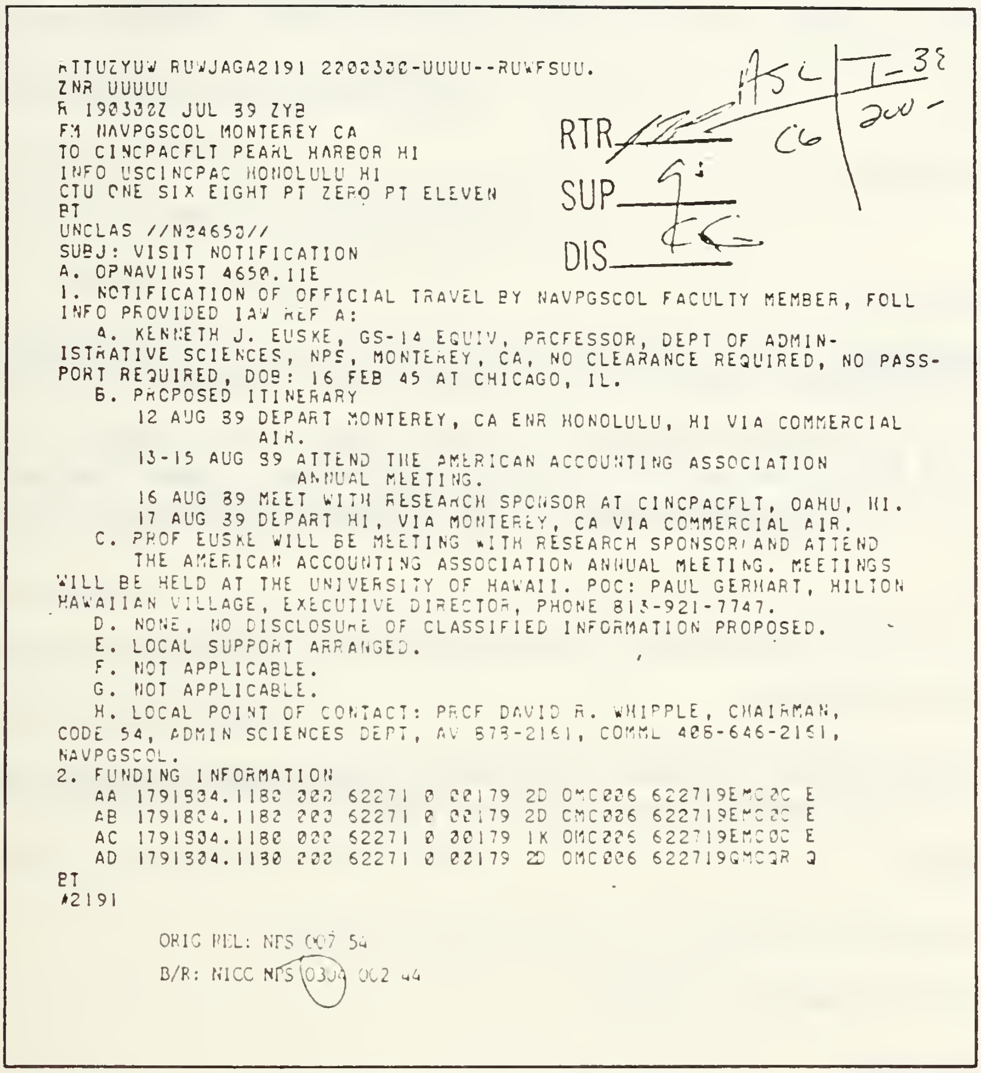
_____ *REGISTRATION FEE(s) ______________ (Must have either receipt or cancelled check)

			AMOUNT	PHONE #	PERSON CALLED/REASON
_____	*PHONE CALLS:	(1)	_____	_____	_____
_____		(2)	_____	_____	_____
_____		(3)	_____	_____	_____
_____		(4)	_____	_____	_____

_____ *OTHER (Specify) ______________________________

COMPLETION OF OFFICIAL BUSINESS (IF ON SATURDAY OR SUNDAY), PROVIDE THE TIME __________ AND DATE ______________.

Figure 6.3 Travel Expense Worksheet



```
RTTUZYUW RUWJAGA2191 2200330-UUUU--RUWFSUU.
ZNR UUUUU
R 190332Z JUL 39 ZYB
FM NAVPGSCOL MONTEREY CA
TO CINCPACFLT PEARL HARBOR HI
INFO USCINCPAC HONOLULU HI
CTU ONE SIX EIGHT PT ZERO PT ELEVEN
BT
UNCLAS //N34650//
SUBJ: VISIT NOTIFICATION
A. OPNAVINST 4650.11E
1. NOTIFICATION OF OFFICIAL TRAVEL BY NAVPGSCOL FACULTY MEMBER, FOLL
INFO PROVIDED IAW REF A:
   A. KENNETH J. EUSKE, GS-14 EQUIV, PROFESSOR, DEPT OF ADMIN-
ISTRATIVE SCIENCES, NPS, MONTEREY, CA, NO CLEARANCE REQUIRED, NO PASS-
PORT REQUIRED, DOB: 16 FEB 45 AT CHICAGO, IL.
   B. PROPOSED ITINERARY
      12 AUG 39 DEPART MONTEREY, CA ENR HONOLULU, HI VIA COMMERCIAL
                AIR.
      13-15 AUG 39 ATTEND THE AMERICAN ACCOUNTING ASSOCIATION
                   ANNUAL MEETING.
      16 AUG 89 MEET WITH RESEARCH SPONSOR AT CINCPACFLT, OAHU, HI.
      17 AUG 39 DEPART HI, VIA MONTEREY, CA VIA COMMERCIAL AIR.
   C. PROF EUSKE WILL BE MEETING WITH RESEARCH SPONSOR AND ATTEND
      THE AMERICAN ACCOUNTING ASSOCIATION ANNUAL MEETING. MEETINGS
WILL BE HELD AT THE UNIVERSITY OF HAWAII. POC: PAUL GERHART, HILTON
HAWAIIAN VILLAGE, EXECUTIVE DIRECTOR, PHONE 813-921-7747.
   D. NONE, NO DISCLOSURE OF CLASSIFIED INFORMATION PROPOSED.
   E. LOCAL SUPPORT ARRANGED.
   F. NOT APPLICABLE.
   G. NOT APPLICABLE.
   H. LOCAL POINT OF CONTACT: PROF DAVID R. WHIPPLE, CHAIRMAN,
CODE 54, ADMIN SCIENCES DEPT, AV 878-2161, COMML 408-646-2161,
NAVPGSCOL.
2. FUNDING INFORMATION
   AA 1791804.1180 000 62271 0 00179 2D OMC006 622719EMC0C E
   AB 1791804.1182 000 62271 0 00179 2D OMC006 622719EMC0C E
   AC 1791804.1180 000 62271 0 00179 1K OMC006 622719EMC0C E
   AD 1791804.1130 000 62271 0 00179 2D OMC006 622719GMCQR Q
BT
#2191

          ORIG REL: NPS 007 54
          B/R: NICC NPS 0304 002 44
```

RTR

SUP

DIS

Asc I-38

C6 200-

EG

Figure 6.4 Visit Notification for Foreign Travel

TRAVEL REQUEST FORM

NAME:

Self Explanatory.

SSN:

Self Explanatory.

DEPARTMENT:

Name of the department preparing the travel orders. This applies to Invitational Travel Orders and Fund Cites, as well as Civilian and Military Travel Orders. Do not type traveler's activity/department name on the ITO or Fund Cite.

CODE:

Office Code for the department preparing the travel orders.

DATES OF TRAVEL:

Date of departure/date of return to permanent duty station, inclusive of annual leave da taken in conjunction with Temporary Duty (TDY).

ITINERARY:

Point of departure, all TDY stops and point of return.

DATE(S) OF ANNUAL LEAVE:

Self Explanatory.

PURPOSE:

Narrative description of the reason for travel.

JUSTIFICATION:

Value of travel to NPS/DOD.

FUNDING SOURCE:

NPS account # or other activity/university/private company.

IF NO COST TO GOVERNMENT, WHO IS FUNDING TRAVEL:

Check the space for Personal Funds or Private Company/University.

SPECIFY:

If Private Company/University checked, indicate name of Private Company/University.

WILL AN HONORARIUM BE RECEIVED?

Check the space for Yes or No.

JUSTIFICATION FOR SPLIT ACCOUNTING:

Benefit of travel to each account used.

IF TRAVEL COMMENCES ON A FRIDAY OR WEEKEND DAY AND/OR RETURNS ON A MONDAY OR WEEKEND DAY, JUSTIFICATION FOR WEEKEND TRAVEL:

Self-Explanatory.

HOW IS SALARY BEING PAID WHILE ON NO COST ORDERS:

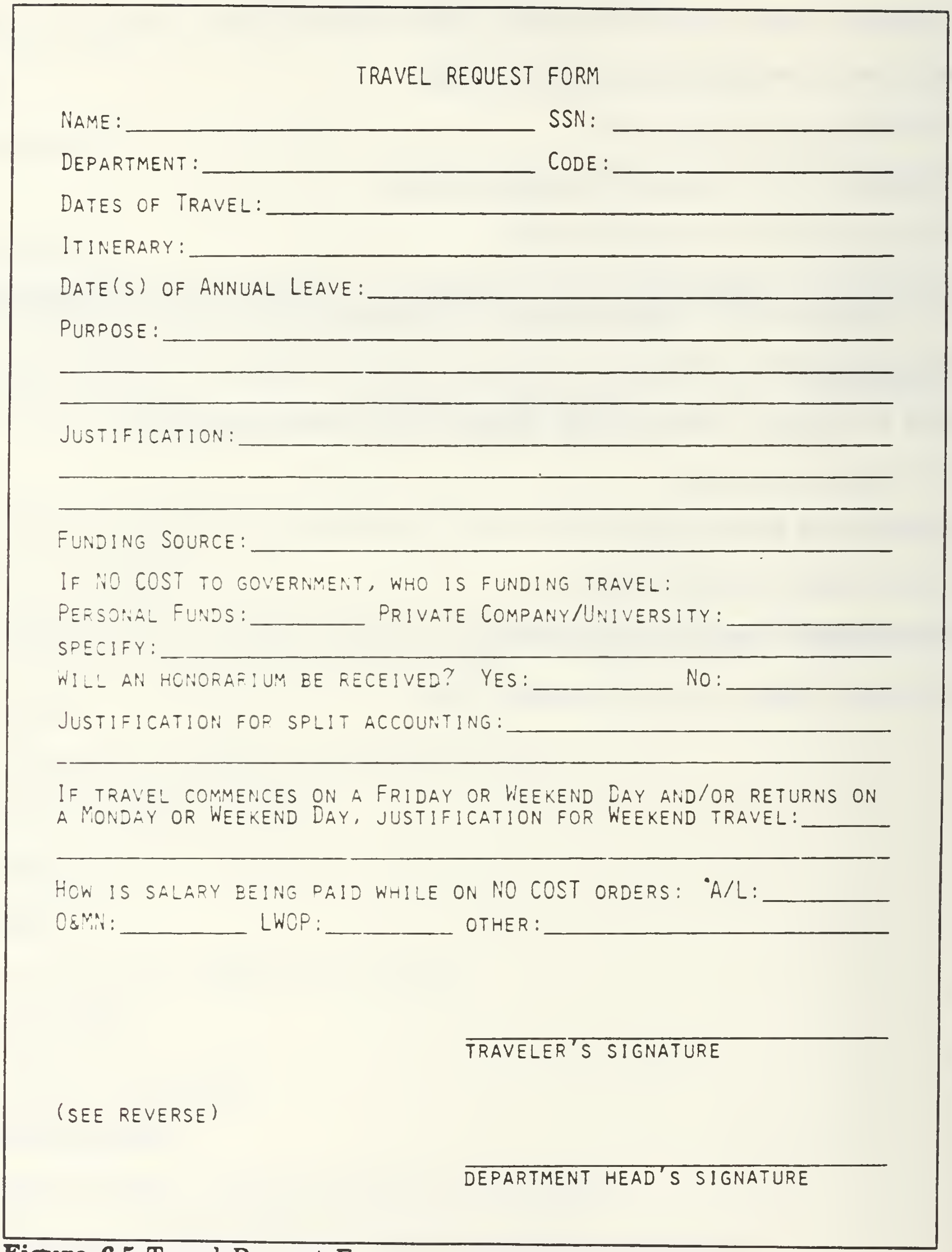
Check appropriate answer.

TRAVELER'S SIGNATURE:

If ITO or Fund Cite, leave blank.

DEPARTMENT HEAD'S SIGNATURE:

Department Head or Acting Department Head.



TRAVEL REQUEST FORM

NAME: ______________________ SSN: ______________

DEPARTMENT: __________________ CODE: ______________

DATES OF TRAVEL: ________________________________

ITINERARY: _____________________________________

DATE(S) OF ANNUAL LEAVE: _________________________

PURPOSE: _______________________________________

JUSTIFICATION: __________________________________

FUNDING SOURCE: _________________________________

IF NO COST TO GOVERNMENT, WHO IS FUNDING TRAVEL:

PERSONAL FUNDS: ________ PRIVATE COMPANY/UNIVERSITY: ________

SPECIFY: ____

WILL AN HONORARIUM BE RECEIVED? YES: ________ NO: ________

JUSTIFICATION FOR SPLIT ACCOUNTING: _________________

IF TRAVEL COMMENCES ON A FRIDAY OR WEEKEND DAY AND/OR RETURNS ON A MONDAY OR WEEKEND DAY, JUSTIFICATION FOR WEEKEND TRAVEL: ________

HOW IS SALARY BEING PAID WHILE ON NO COST ORDERS: *A/L: ________

O&MN: ________ LWOP: ________ OTHER: ________________

TRAVELER'S SIGNATURE

(SEE REVERSE)

DEPARTMENT HEAD'S SIGNATURE

Figure 6.5 Travel Request Form

CIVILIAN TRAVEL ORDER

DD-1610 REQUEST AND AUTHORIZATION FOR TDY TRAVEL OF DOD PERSONNEL

The name and phone number of person preparing the travel order should be entered at the top of document. See the example provided.

BLOCK DESCRIPTION

(1) DATE OF REQUEST

Date of preparing the travel order.

(2) NAME

Name and SSN of person traveling. Indicate whether traveler is "Frequent Traveler" or "Non-Frequent Traveler".

(3) POSITION TITLE AND GRADE OR RATING

Title and GS rating/equivalency.

(4) OFFICIAL STATION

Must be "NAVAL POSTGRADUATE SCHOOL" or "NAVAL POSTGRADUATE SCHOOL with duty elsewhere".

(5) ORGANIZATIONAL ELEMENT

Name of department and office code.

(6) PHONE NUMBER

Telephone number of traveler.

(7) TYPE OF ORDERS

Single/Amendment. If an amendment to the original orders, indicate the original travel order number.

(8) SECURITY CLEARANCE

Security clearance applicable to specific trip or N/A.

(9) PURPOSE OF TDY

(a) State "MISSION ESSENTIAL" or "ADMINISTRATIVE".

(b) Precise narrative description of purpose for travel.

(c) State category of travel, i.e., "Site Visit", "Information Meeting",etc., per listing provided in NAVPGSCOLINST 4650.4b

(10a) APPROX. NO. OF DAYS OF TDY

Days of official duty including travel days. Do not include leave time.

(10b) PROCEED O/A (Date)

Departure date.

(11) ITINERARY

Under Block 9 type: "Est. Date of Ret: (date)."
Enter point of departure / temporary duty location(s). Show only the locations where TDY will be performed, not the connecting points or point o return.

(12) MODE OF TRANSPORTATION

Mode of transportation must be marked. If Privately Owned Conveyance is authorized, insert rate per mile (currently $.24) and check the appropriate box; "More Advantageous to Government" or "Mileage Reimbursement and Per Diem limited to constructive cost of common carrier transportation, etc."

(13) PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR OTHER RATE OF PER DIEM (Specify)

Check one of the following:

PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR

OTHER RATE OF PER DIEM - Used when traveler wishes to be reimburse for actual expenses (all expenses must be itemized and accompanied with a receipt). Prior approval must also be obtained from the Per Diem Committe and attached to the orders.

(14) ESTIMATED COST

PER DIEM: Total number of days of TDY minus one day, times the locality Per Diem rate, plus one full day of Meals and Incidental Expenses.

Plus Estimate for rental car if applicable ($30/day).
Estimate for POV ($.24/mile).
Estimate for taxi ($20/day).

TRAVEL: For GTRs only (tickets obtained through the PSD Transportation Office). If the traveler is authorized to purchase his/her own ticket, the cost of the ticket will be typed in the "PER DIEM" block and marked "Air Fare" along with the per diem estimate. For example:

PER DIEM
$450.00 Air Fare
$180.00 per Diem

OTHER: Registration/tuition fee only.

(15) ADVANCE AUTHORIZED

Leave blank.

(16) REMARKS

All authorizations should be stated in this block, e.g., rental car, registration/tuition fees, POV, taxi, etc.

(17) REQUESTING OFFICIAL

Traveler or traveler's first line supervisor, where applicable.

(18) APPROVING OFFICIAL

Refer to enclosure (1) of NAVPGSCOLINST 4650.4B.

(19) ACCTG. CITATION

AA - Per Diem)If all four lines of
AB - GTR Travel)accounting are required,
AC - Advance)type the Advance line (AC)
AD - Registration/Tuition)in Block 16 - Remarks.

(20) ORDER AUTHORIZING OFFICIAL

Leave blank.

(21) DATE ISSUED

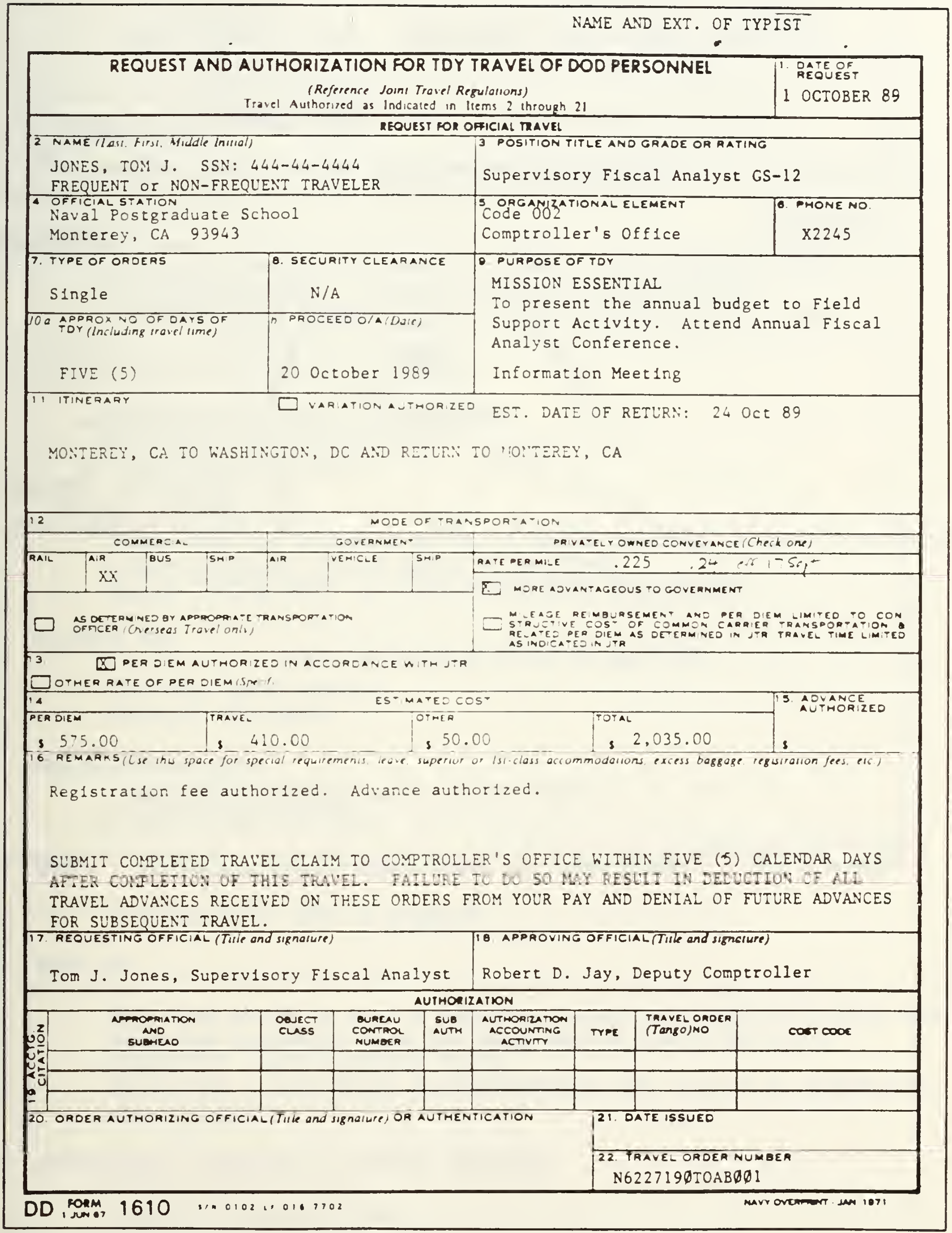
Leave blank.

(22) TRAVEL ORDER NUMBER

N62271(FY)TO (5-digit serial number)
Example: N6227190TOAB001

If a travel advance is authorized, the travel orders must be received by PSD at least five working days prior to date of departure or a memo must be attached stating reason for the late submission.

If travel orders are for foreign travel (this includes Hawaii & Canada), a copy of the Country Clearance Request/Message should be attached. Country clearance is the responsibility of the approving official. The traveler should not commence travel withou country clearance!



NAME AND EXT. OF TYPIST

REQUEST AND AUTHORIZATION FOR TDY TRAVEL OF DOD PERSONNEL

(Reference Joint Travel Regulations)
Travel Authorized as Indicated in Items 2 through 21

1. DATE OF REQUEST: 1 OCTOBER 89

REQUEST FOR OFFICIAL TRAVEL

2. NAME *(Last, First, Middle Initial)*: JONES, TOM J. SSN: 444-44-4444
FREQUENT or NON-FREQUENT TRAVELER

3. POSITION TITLE AND GRADE OR RATING: Supervisory Fiscal Analyst GS-12

4. OFFICIAL STATION: Naval Postgraduate School
Monterey, CA 93943

5. ORGANIZATIONAL ELEMENT: Code 002
Comptroller's Office

6. PHONE NO.: X2245

7. TYPE OF ORDERS: Single

8. SECURITY CLEARANCE: N/A

9. PURPOSE OF TDY: MISSION ESSENTIAL
To present the annual budget to Field Support Activity. Attend Annual Fiscal Analyst Conference.
Information Meeting

10a. APPROX NO OF DAYS OF TDY *(Including travel time)*: FIVE (5)

b. PROCEED O/A *(Date)*: 20 October 1989

11. ITINERARY ☐ VARIATION AUTHORIZED

EST. DATE OF RETURN: 24 Oct 89

MONTEREY, CA TO WASHINGTON, DC AND RETURN TO MONTEREY, CA

12. MODE OF TRANSPORTATION

COMMERCIAL				GOVERNMENT		
RAIL	AIR	BUS	SHIP	AIR	VEHICLE	SHIP
	XX					

☐ AS DETERMINED BY APPROPRIATE TRANSPORTATION OFFICER *(Overseas Travel only)*

PRIVATELY OWNED CONVEYANCE *(Check one)*

RATE PER MILE .225 .24 eff 17 Sept

☒ MORE ADVANTAGEOUS TO GOVERNMENT

☐ MILEAGE REIMBURSEMENT AND PER DIEM LIMITED TO CONSTRUCTIVE COST OF COMMON CARRIER TRANSPORTATION & RELATED PER DIEM AS DETERMINED IN JTR TRAVEL TIME LIMITED AS INDICATED IN JTR

13. ☒ PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR
☐ OTHER RATE OF PER DIEM *(Specify)*

14. ESTIMATED COST

PER DIEM	TRAVEL	OTHER	TOTAL
$ 575.00	$ 410.00	$ 50.00	$ 2,035.00

15. ADVANCE AUTHORIZED $

16. REMARKS *(Use this space for special requirements, leave, superior or 1st-class accommodations, excess baggage, registration fees, etc.)*

Registration fee authorized. Advance authorized.

SUBMIT COMPLETED TRAVEL CLAIM TO COMPTROLLER'S OFFICE WITHIN FIVE (5) CALENDAR DAYS AFTER COMPLETION OF THIS TRAVEL. FAILURE TO DO SO MAY RESULT IN DEDUCTION OF ALL TRAVEL ADVANCES RECEIVED ON THESE ORDERS FROM YOUR PAY AND DENIAL OF FUTURE ADVANCES FOR SUBSEQUENT TRAVEL.

17. REQUESTING OFFICIAL *(Title and signature)*: Tom J. Jones, Supervisory Fiscal Analyst

18. APPROVING OFFICIAL *(Title and signature)*: Robert D. Jay, Deputy Comptroller

AUTHORIZATION

19. ACCTG. CITATION

APPROPRIATION AND SUBHEAD	OBJECT CLASS	BUREAU CONTROL NUMBER	SUB AUTH	AUTHORIZATION ACCOUNTING ACTIVITY	TYPE	TRAVEL ORDER (Tango) NO	COST CODE

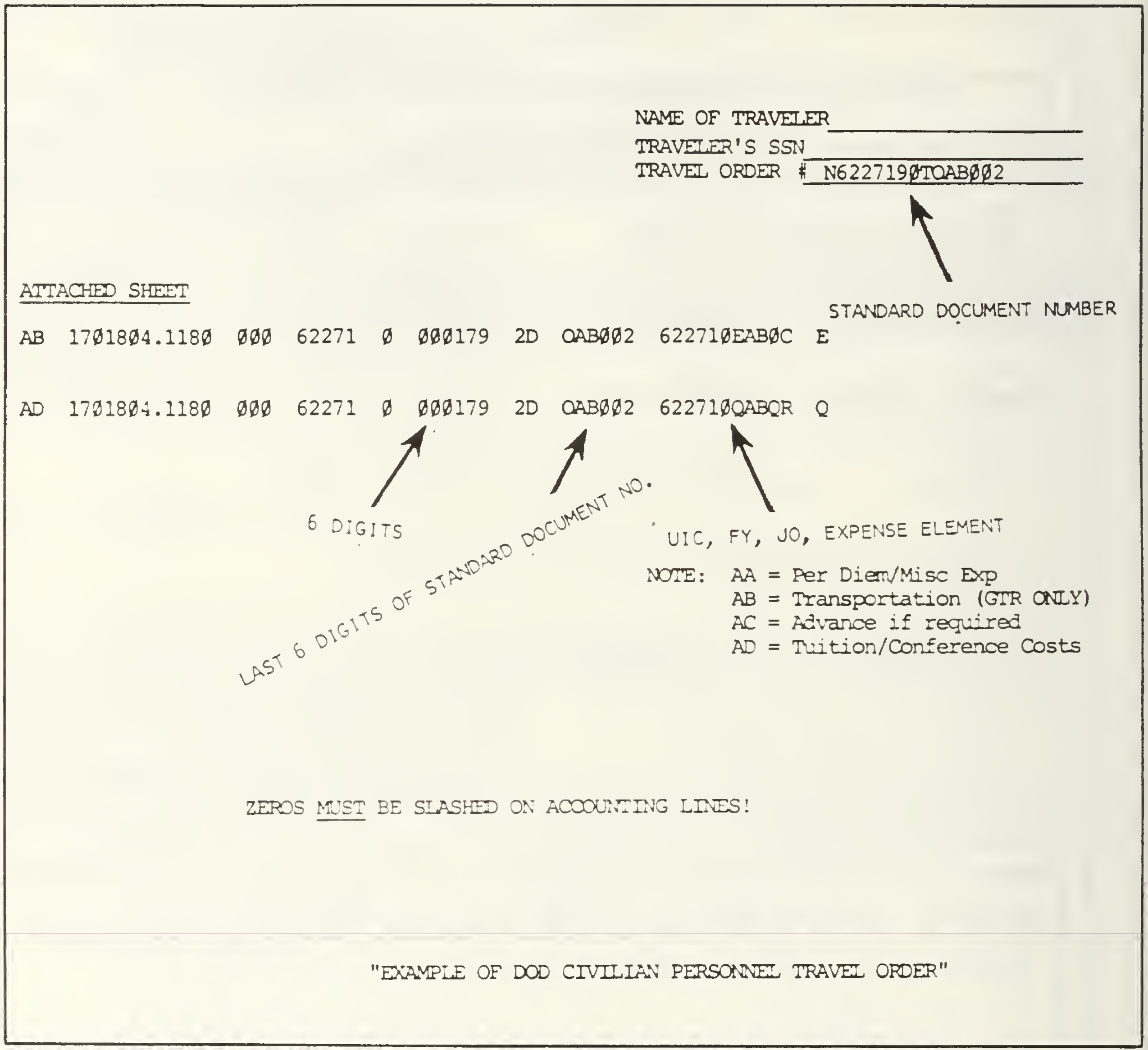
20. ORDER AUTHORIZING OFFICIAL *(Title and signature)* OR AUTHENTICATION

21. DATE ISSUED

22. TRAVEL ORDER NUMBER: N6227190TOAB001

DD FORM 1 JUN 67 1610 S/N 0102-LF-016-7702 NAVY OVERPRINT - JAN 1971

Figure 6.6 DD Form 1610 DOD Civilian Personnel Travel Order



NAME OF TRAVELER ____________________

TRAVELER'S SSN ____________________

TRAVEL ORDER # N6227190TOAB002

STANDARD DOCUMENT NUMBER

ATTACHED SHEET

AB 1701804.1180 000 62271 0 000179 2D OAB002 622710EAB0C E

AD 1701804.1180 000 62271 0 000179 2D OAB002 622710QABQR Q

6 DIGITS

LAST 6 DIGITS OF STANDARD DOCUMENT NO.

UIC, FY, JO, EXPENSE ELEMENT

NOTE: AA = Per Diem/Misc Exp
AB = Transportation (GTR ONLY)
AC = Advance if required
AD = Tuition/Conference Costs

ZEROS MUST BE SLASHED ON ACCOUNTING LINES!

"EXAMPLE OF DOD CIVILIAN PERSONNEL TRAVEL ORDER"

Figure 6.7 DOD Civilian Personnel Travel Order Continuation Sheet

MILITARY TRAVEL

NAVPERS 1320 / TEMADD TRAVEL ORDER

(To be used for active duty members assigned to NPS.)

The name and phone number of the person preparing the travel order should be entered at the top of the document. See the example provided.

(1) FROM:

SUPERINTENDENT, NAVAL POSTGRADUATE SCHOOL,
MONTEREY CA 93943

(2) STANDARD DOCUMENT NUMBER:

N62271(FY)TO(5-digit serial number)
Example: N6227190TOAB001

(3) TO:

Name, rank and branch of service of person traveling. If leave is authorized, a leave statement should appear in this block.
Specify "FREQUENT" or "NON-FREQUENT TRAVELER".

(4) TANGO NO.

TO(5-digit serial number)
Example: TOAB001

(5) SSN/DESIGNATOR

Social Security Number

(6) DATE

Date the travel order is prepared.

(7) REF (A)

This block should be used to reference another command's accounting data, when that command's funds are being used to finance the travel.
EXAMPLE: "ACCOUNTING DATA
RECEIVED 1 OCT FROM NAVOCSYSCMD, MR. GLENN E. EBERLING, AV# 878-2357."

(8) INDIVIDUAL TRAVEL / GROUP TRAVEL

Check the appropriate box.

(9) PROCEED ON OR ABOUT

Date of departure.

(10) AUTHORIZED PROCEED ON OR ABOUT

No entry required.

(11) APPROXIMATE NUMBER OF DAYS

Estimated number of days on TDY (leave days should not be included).

(12) ESTIMATED DATE OF RETURN

Date of return to permanent duty station (include any days of leave authorized).

(13) ITINERARY

Point of departure; residence, i.e. Salinas, Pacific Grove, etc. or NPS, if applicable.

Temporary duty location(s). TDY locations only; connecting points not required.

Point of return.

(14) TEMADD/TEMADDCOM/TEMADDINS

Check TEMADD.

(15) REASON FOR TRAVEL

(A) Enter "MISSION ESSENTIAL" or "ADMINISTRATIVE".

(B) Enter a precise narrative description of the reason for travel.

(C) State category of travel, i.e., "Site Visit", "Information Meeting", etc., per NAVPGSCOLINST 4650.4B.

(16) AUTHORIZED VISIT SUCH ADDITIONAL PLACES AS MAY BE NECESSARY

This box applies to the local commuting area of a TAD location.

(17) FISCAL ACCOUNTING DATA CLASSIFICATION

AA - Per Diem) If all four lines of accounting
AB - GTR Travel) are required, type advance line AC
AC - Advance) in Block 21 - Additional
AD - Registration/Tuition) Comments and Instructions.

(18) ESTIMATED COST

Transportation - For GTR only.
Per Diem - Per diem rate for TAD area x number of days of TAD, plus one day per diem for travel time.

Plus: Estimate for rental car ($30/day)
Estimate for taxi ($20/day)
Estimate for POV transportation ($.24/mile)

Misc. Exp. - Registration fees only.

(19) CUSTOMER IDENTIFICATION CODE

Not used by NPS.

(20) ITEM:

Use applicable item number(s) provided in the "Order Supplementary Items" section shown on the reverse side of the NAVPERS 1320 TEMADD Travel Order. Attach a supplementary sheet of items to the travel order per NAVPGSCOLINST 4235.2 CH-1 dtd 22 December 1986 (Order Supplementary Orders). Ensure Item 38, submission of travel claims, is annotated on all travel orders.

(21) ADDITIONAL COMMENTS AND INSTRUCTIONS

All authorizations not covered in Block #20. Approval line for Dept. Head, i.e. APPROVED:_____________ .(Code)

(22) SECURITY CLEARANCE

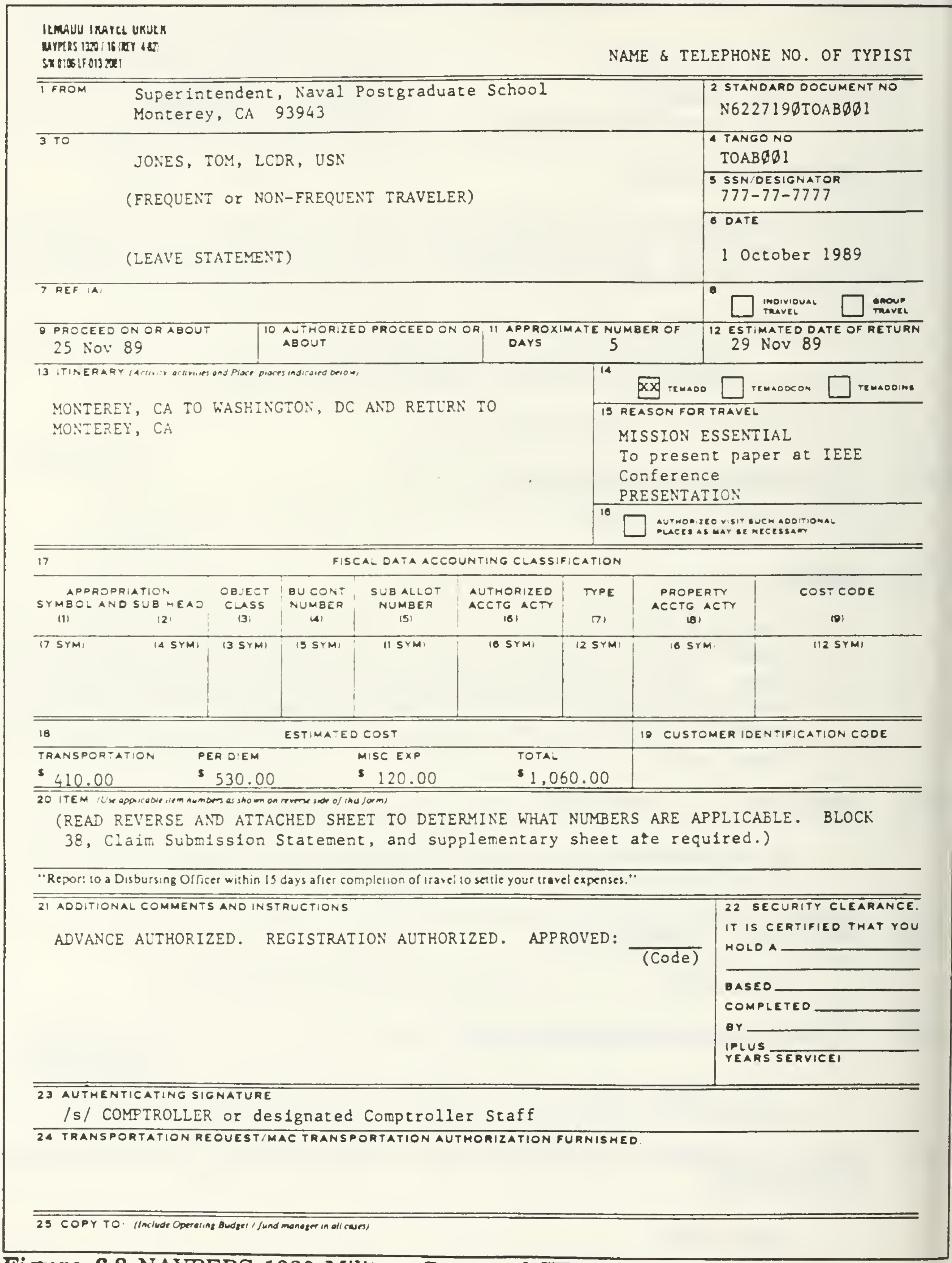
If applicable.

(23) AUTHENTICATING SIGNATURE

Leave blank. This must be signed by the Comptroller or designated Comptroller staff.

(24) TRANSPORTATION REQUEST/ MAC TRANSPORTATION AUTHORIZATION FURNISHED:

Leave blank.



TEMADD TRAVEL ORDER
NAVPERS 1320/16 (REV 4-82)
S/N 0106-LF-013-2081

NAME & TELEPHONE NO. OF TYPIST

1 FROM
Superintendent, Naval Postgraduate School
Monterey, CA 93943

2 STANDARD DOCUMENT NO
N6227190TOAB001

3 TO
JONES, TOM, LCDR, USN
(FREQUENT or NON-FREQUENT TRAVELER)

(LEAVE STATEMENT)

4 TANGO NO
TOAB001

5 SSN/DESIGNATOR
777-77-7777

6 DATE
1 October 1989

7 REF (A)

8 ☐ INDIVIDUAL TRAVEL ☐ GROUP TRAVEL

9 PROCEED ON OR ABOUT
25 Nov 89

10 AUTHORIZED PROCEED ON OR ABOUT

11 APPROXIMATE NUMBER OF DAYS 5

12 ESTIMATED DATE OF RETURN
29 Nov 89

13 ITINERARY *(Activity activities and Place places indicated below)*
MONTEREY, CA TO WASHINGTON, DC AND RETURN TO MONTEREY, CA

14 ☒ TEMADD ☐ TEMADDCON ☐ TEMADDINS

15 REASON FOR TRAVEL
MISSION ESSENTIAL
To present paper at IEEE Conference
PRESENTATION

16 ☐ AUTHORIZED VISIT SUCH ADDITIONAL PLACES AS MAY BE NECESSARY

17 FISCAL DATA ACCOUNTING CLASSIFICATION

APPROPRIATION SYMBOL AND SUB HEAD (1)	(2)	OBJECT CLASS (3)	BU CONT NUMBER (4)	SUB ALLOT NUMBER (5)	AUTHORIZED ACCTG ACTY (6)	TYPE (7)	PROPERTY ACCTG ACTY (8)	COST CODE (9)
(7 SYM)	(4 SYM)	(3 SYM)	(5 SYM)	(1 SYM)	(6 SYM)	(2 SYM)	(6 SYM)	(12 SYM)

18 ESTIMATED COST

TRANSPORTATION	PER DIEM	MISC EXP	TOTAL
$ 410.00	$ 530.00	$ 120.00	$ 1,060.00

19 CUSTOMER IDENTIFICATION CODE

20 ITEM *(Use applicable item numbers as shown on reverse side of this form)*
(READ REVERSE AND ATTACHED SHEET TO DETERMINE WHAT NUMBERS ARE APPLICABLE. BLOCK 38, Claim Submission Statement, and supplementary sheet are required.)

"Report to a Disbursing Officer within 15 days after completion of travel to settle your travel expenses."

21 ADDITIONAL COMMENTS AND INSTRUCTIONS
ADVANCE AUTHORIZED. REGISTRATION AUTHORIZED. APPROVED: ______
(Code)

22 SECURITY CLEARANCE. IT IS CERTIFIED THAT YOU HOLD A ______
BASED ______
COMPLETED ______
BY ______
(PLUS ______ YEARS SERVICE)

23 AUTHENTICATING SIGNATURE
/s/ COMPTROLLER or designated Comptroller Staff

24 TRANSPORTATION REQUEST/MAC TRANSPORTATION AUTHORIZATION FURNISHED

25 COPY TO: *(Include Operating Budget / fund manager in all cases)*

Figure 6.8 NAVPERS 1320 Military Personnel TEMADD Travel Order

NAVSO 4650/10 INVITATIONAL TRAVEL ORDER

(To be used for non-government travelers and international students.)

Indicate the name and telephone number of the typist in the upper right hand corner of the ITO. Submit the original ITO, with the Travel Request Form, to the appropriate approving authority.

TRAVEL ORDER NO.

N62271(FY)TO(5-digit serial no.
EXAMPLE: N6227190TOAB001

PART 1.

(1) NAME

Full name and social security number of traveler.

DATE APPROVED

Date orders prepared.

HOME ADDRESS

Traveler's Home Address.

BUSINESS ADDRESS

Full business name and address.

NAME AND LOCATION OF ACTIVITY ISSUING INVITATION

Enter "Naval Postgraduate School, Monterey, CA 93943".

FROM

Point where travel is to begin.

PROCEED ON OR ABOUT (Date)

Date travel is to begin.

TO

Place of duty. May not always be Monterey.

FOR APPROXIMATELY

Number of days authorized.

FOR THE PURPOSE OF

Indicate whether "Mission Essential" or "Administrative" and provide a concise description of the reason for travel.

Indicate all authorizations, i.e., rental car, commercial lodging, etc. Estimated costs must be broken down by per diem, rental car, registration fee, and travel cost (if GTR is to be issued).

Enter the phrase "EST. DATE OF RETURN: (Date)".

Provide signature lines for the Department Chairman, Research Administration (if research funds are to be used), and Fund Administrator.

Indicate on the document that travel advances are not authorized for ITOs and provide information regarding travel claim submissions.

UPON COMPLETION RETURN TO

Point where travel is to be completed.

PARTS 2, 3 & 4

(2,3,& 4)

No entries.

PART 5

(5) PER DIEM

Per Diem cost for TDY location.

PART 6

(6) TRANSPORTATION REQUEST NUMBERS:

Not required.

PART 7

(7) EXPENSES IN THIS ORDER ARE CHARGEABLE TO:

Enter accounting data.

PART 8

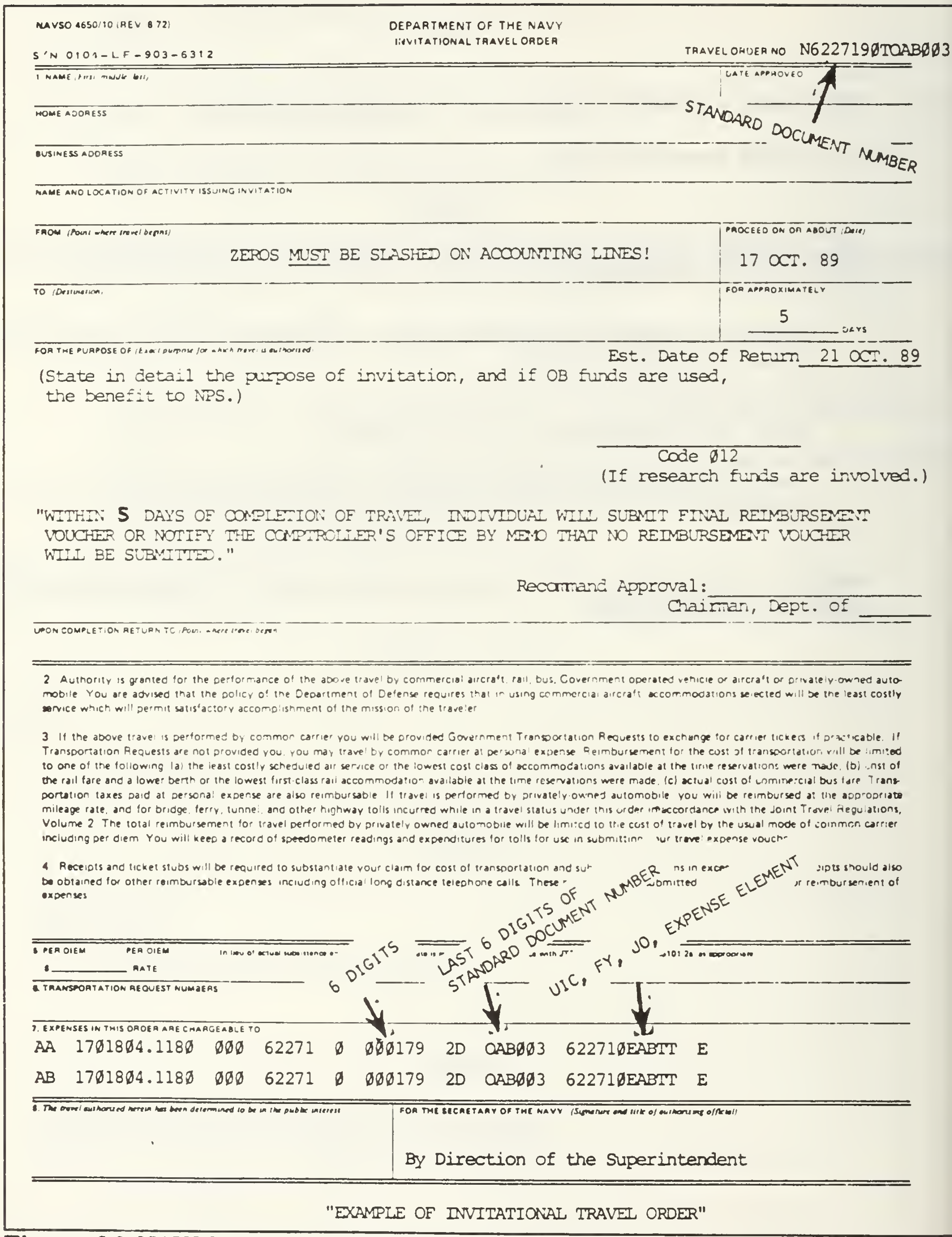
(8) THE TRAVEL AUTHORIZED HEREIN HAS BEEN DETERMINED TO BE IN THE PUBLIC INTEREST

Signature of respective Chairman/Dean or Curricular Officer, if the traveler is an international student.

FOR THE SECRETARY OF THE NAVY

Enter "By Direction of Superintendent". Leave sufficient space for the signature of the Comptroller or designated Comptroller staff.

****NOTE** ONLY THE ORIGINAL ITO WITH SUPPORTING DOCUMENTS NEED BE SUBMITTED.**



NAVSO 4650/10 (REV 8 72)

S/N 0101-LF-903-6312

DEPARTMENT OF THE NAVY
INVITATIONAL TRAVEL ORDER

TRAVEL ORDER NO N6227190TOAB003

1 NAME (First, middle, last)

DATE APPROVED

HOME ADDRESS

BUSINESS ADDRESS

STANDARD DOCUMENT NUMBER

NAME AND LOCATION OF ACTIVITY ISSUING INVITATION

FROM (Point where travel begins)

ZEROS MUST BE SLASHED ON ACCOUNTING LINES!

PROCEED ON OR ABOUT (Date)

17 OCT. 89

TO (Destination)

FOR APPROXIMATELY

5 DAYS

FOR THE PURPOSE OF (Exact purpose for which travel is authorized)

Est. Date of Return 21 OCT. 89

(State in detail the purpose of invitation, and if OB funds are used, the benefit to NPS.)

Code 012
(If research funds are involved.)

"WITHIN 5 DAYS OF COMPLETION OF TRAVEL, INDIVIDUAL WILL SUBMIT FINAL REIMBURSEMENT VOUCHER OR NOTIFY THE COMPTROLLER'S OFFICE BY MEMO THAT NO REIMBURSEMENT VOUCHER WILL BE SUBMITTED."

Recommand Approval: ____________
Chairman, Dept. of ______

UPON COMPLETION RETURN TO (Point where travel began)

2 Authority is granted for the performance of the above travel by commercial aircraft, rail, bus, Government operated vehicle or aircraft or privately-owned automobile. You are advised that the policy of the Department of Defense requires that in using commercial aircraft, accommodations selected will be the least costly service which will permit satisfactory accomplishment of the mission of the traveler.

3 If the above travel is performed by common carrier you will be provided Government Transportation Requests to exchange for carrier tickets if practicable. If Transportation Requests are not provided you, you may travel by common carrier at personal expense. Reimbursement for the cost of transportation will be limited to one of the following: (a) the least costly scheduled air service or the lowest cost class of accommodations available at the time reservations were made, (b) cost of the rail fare and a lower berth or the lowest first-class rail accommodation available at the time reservations were made, (c) actual cost of commercial bus fare. Transportation taxes paid at personal expense are also reimbursable. If travel is performed by privately-owned automobile, you will be reimbursed at the appropriate mileage rate, and for bridge, ferry, tunnel, and other highway tolls incurred while in a travel status under this order in accordance with the Joint Travel Regulations, Volume 2. The total reimbursement for travel performed by privately owned automobile will be limited to the cost of travel by the usual mode of common carrier including per diem. You will keep a record of speedometer readings and expenditures for tolls for use in submitting your travel expense vouch

4 Receipts and ticket stubs will be required to substantiate your claim for cost of transportation and sub ns in exce ipts should also be obtained for other reimbursable expenses, including official long distance telephone calls. These submitted or reimbursement of expenses.

5 PER DIEM PER DIEM In lieu of actual subsistence e- ate is with JT 101 2a as appropriate
$ ________ RATE

6 TRANSPORTATION REQUEST NUMBERS

7. EXPENSES IN THIS ORDER ARE CHARGEABLE TO

6 DIGITS

LAST 6 DIGITS OF STANDARD DOCUMENT NUMBER

UIC, FY, JO, EXPENSE ELEMENT

AA 1701804.1180 000 62271 0 000179 2D OAB003 622710EABTT E
AB 1701804.1180 000 62271 0 000179 2D OAB003 622710EABTT E

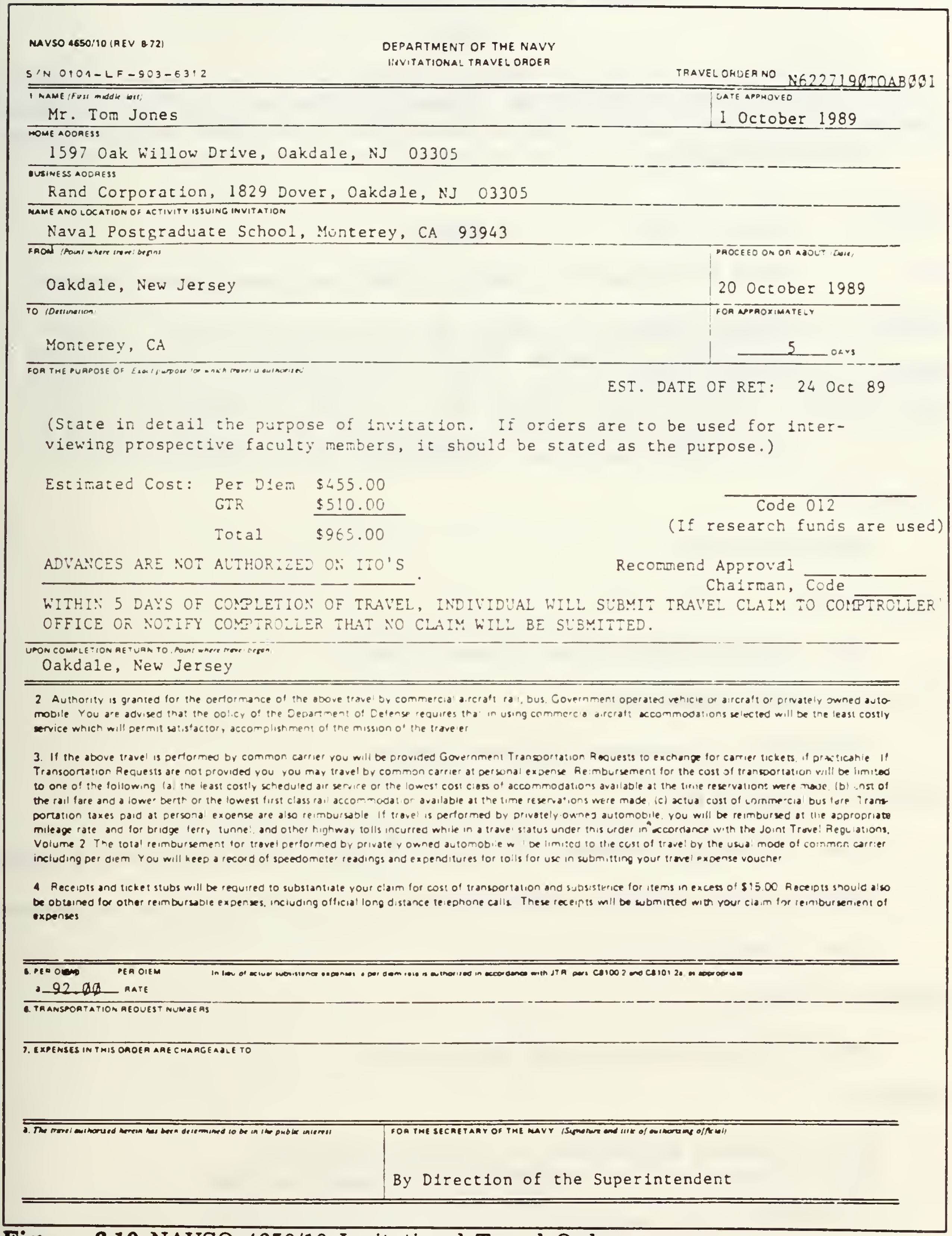
8. The travel authorized herein has been determined to be in the public interest

FOR THE SECRETARY OF THE NAVY (Signature and title of authorizing official)

By Direction of the Superintendent

"EXAMPLE OF INVITATIONAL TRAVEL ORDER"

Figure 6.9 NAVSO 4650/10 Invitational Travel Order



NAVSO 4650/10 (REV 8-72)

DEPARTMENT OF THE NAVY
INVITATIONAL TRAVEL ORDER

S/N 0104-LF-903-6312

TRAVEL ORDER NO N6227190TOAB001

1 NAME *(First middle last)*: Mr. Tom Jones

DATE APPROVED: 1 October 1989

HOME ADDRESS: 1597 Oak Willow Drive, Oakdale, NJ 03305

BUSINESS ADDRESS: Rand Corporation, 1829 Dover, Oakdale, NJ 03305

NAME AND LOCATION OF ACTIVITY ISSUING INVITATION: Naval Postgraduate School, Monterey, CA 93943

FROM *(Point where travel begins)*: Oakdale, New Jersey

PROCEED ON OR ABOUT *(Date)*: 20 October 1989

TO *(Destination)*: Monterey, CA

FOR APPROXIMATELY 5 DAYS

FOR THE PURPOSE OF *(Exact purpose for which travel is authorized)*

EST. DATE OF RET: 24 Oct 89

(State in detail the purpose of invitation. If orders are to be used for interviewing prospective faculty members, it should be stated as the purpose.)

Estimated Cost:	Per Diem	$455.00
	GTR	$510.00
	Total	$965.00

Code 012
(If research funds are used)

ADVANCES ARE NOT AUTHORIZED ON ITO'S.

Recommend Approval
Chairman, Code

WITHIN 5 DAYS OF COMPLETION OF TRAVEL, INDIVIDUAL WILL SUBMIT TRAVEL CLAIM TO COMPTROLLER' OFFICE OR NOTIFY COMPTROLLER THAT NO CLAIM WILL BE SUBMITTED.

UPON COMPLETION RETURN TO *(Point where travel began)*: Oakdale, New Jersey

2 Authority is granted for the performance of the above travel by commercial aircraft rail, bus, Government operated vehicle or aircraft or privately owned automobile. You are advised that the policy of the Department of Defense requires that in using commercial aircraft accommodations selected will be the least costly service which will permit satisfactory accomplishment of the mission of the traveler.

3. If the above travel is performed by common carrier you will be provided Government Transportation Requests to exchange for carrier tickets, if practicable. If Transportation Requests are not provided you you may travel by common carrier at personal expense. Reimbursement for the cost of transportation will be limited to one of the following (a) the least costly scheduled air service or the lowest cost class of accommodations available at the time reservations were made, (b) cost of the rail fare and a lower berth or the lowest first class rail accommodation available at the time reservations were made, (c) actual cost of commercial bus fare. Transportation taxes paid at personal expense are also reimbursable. If travel is performed by privately-owned automobile, you will be reimbursed at the appropriate mileage rate and for bridge ferry tunnel, and other highway tolls incurred while in a travel status under this order in accordance with the Joint Travel Regulations, Volume 2. The total reimbursement for travel performed by privately owned automobile will be limited to the cost of travel by the usual mode of common carrier including per diem. You will keep a record of speedometer readings and expenditures for tolls for use in submitting your travel expense voucher.

4 Receipts and ticket stubs will be required to substantiate your claim for cost of transportation and subsistence for items in excess of $15.00. Receipts should also be obtained for other reimbursable expenses, including official long distance telephone calls. These receipts will be submitted with your claim for reimbursement of expenses.

5. PER DIEM PER DIEM In lieu of actual subsistence expenses a per diem rate is authorized in accordance with JTR pars C8100 2 and C8101 2a, as appropriate

a 92.00 RATE

6. TRANSPORTATION REQUEST NUMBERS

7. EXPENSES IN THIS ORDER ARE CHARGEABLE TO

8. *The travel authorized herein has been determined to be in the public interest*

FOR THE SECRETARY OF THE NAVY *(Signature and title of authorizing official)*

By Direction of the Superintendent

Figure 6.10 NAVSO 4650/10 Invitational Travel Order

FUND CITE AUTHORIZATIONS

Form letters for civilian and military travelers are available from the Travel Desk in the Comptroller's office. Submit the original Fund Cite with the Travel Request Form Include the name and telephone number of the typist in the upper right hand corner of the Travel Request Form.

FROM: Standard Entry.

TO: Name & address of the agency to which the traveler is assigned.

SUBJ: Standard Entry.

REF: Standard Entry.

PART 1

Name/SSN:

Self Explanatory.

Title/Grade:

Enter military rank or civilian title/wage grade.

AV and/or COM Phone No.:

AUTOVON or Commercial telephone number.

From / To / Return to:

Point of departure; residence, i.e., Salinas, Pacific Grove, etc. or NPS, if applicable.

Temporary duty location(s). TDY locations only; connecting points not required.

Point of return.

Date(s) of Travel:

Indicate departure date through date of return.

Purpose:

Enter "MISSION ESSENTIAL" or "ADMINISTRATIVE".
Enter a precise narrative description of the reason for travel.
State category of travel, i.e., "Site Visit", "Information Meeting", etc. per NAVPGSCOLINST 4650.4B.

PART 2

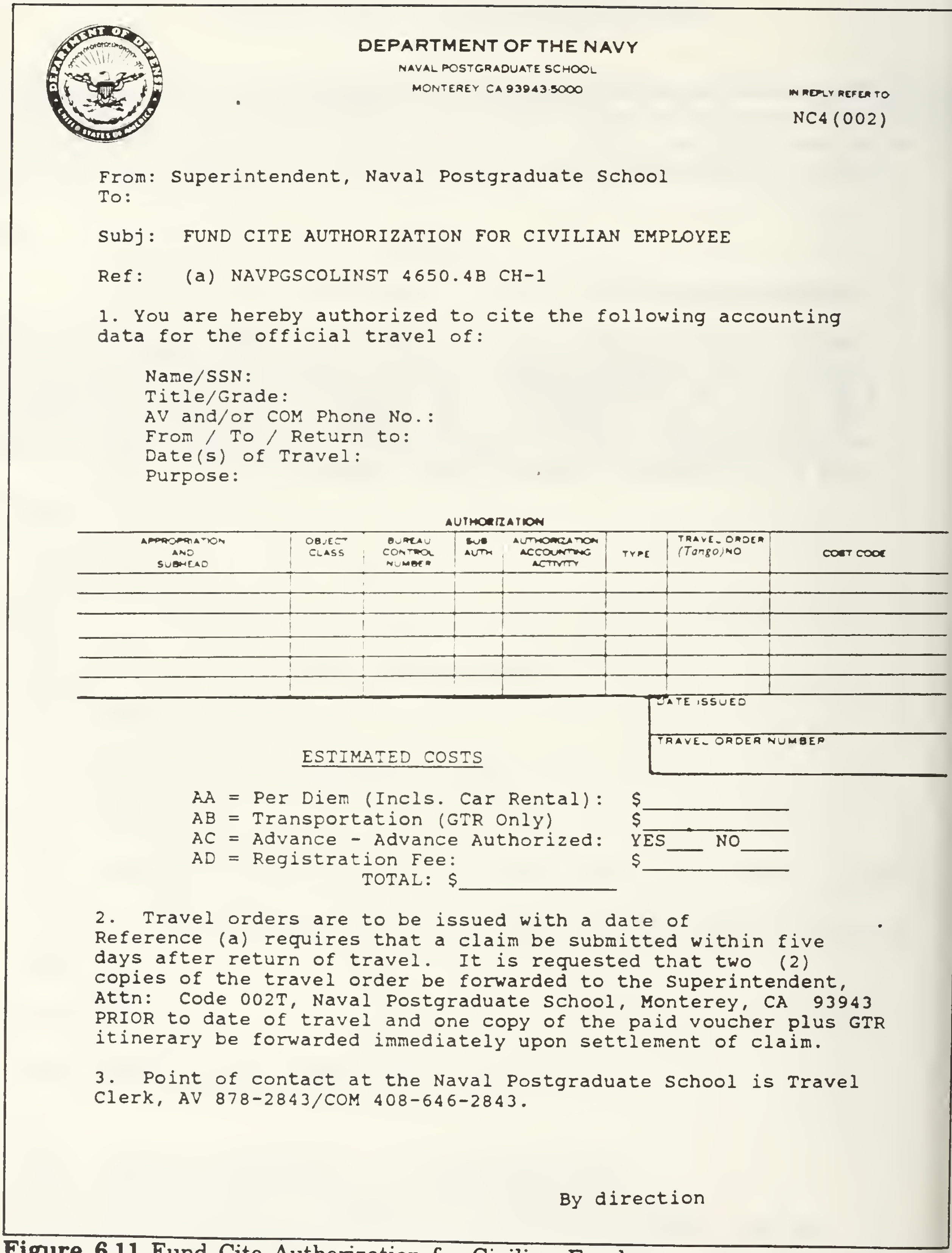
2. **'Travel orders are to be issued with a date of ___________. Reference (a)..."**

Enter the effective date of the obligation in the space provided.

PART 3

3. **Standard Entry.**

****NOTE** FUND CITES MUST BE SIGNED BY THE COMPTROLLER OR DESIGNATED COMPTROLLER STAFF. SIGNED ORDERS WILL BE RETURNED TO ORIGINATING DEPARTMENT FOR MAILING/FAXING TO THE TRAVELER'S ACTIVITY. THE ORDER ORIGINATING DEPARTMENT IS RESPONSIBLE FOR OBTAINING TRAVEL ORDERS, GTR ITINERARY AND SETTLEMENT VOUCHERS FOR COMPTROLLER FILES.**



DEPARTMENT OF DEFENSE
UNITED STATES OF AMERICA

DEPARTMENT OF THE NAVY
NAVAL POSTGRADUATE SCHOOL
MONTEREY CA 93943-5000

IN REPLY REFER TO
NC4(002)

From: Superintendent, Naval Postgraduate School
To:

Subj: FUND CITE AUTHORIZATION FOR CIVILIAN EMPLOYEE

Ref: (a) NAVPGSCOLINST 4650.4B CH-1

1. You are hereby authorized to cite the following accounting data for the official travel of:

Name/SSN:
Title/Grade:
AV and/or COM Phone No.:
From / To / Return to:
Date(s) of Travel:
Purpose:

AUTHORIZATION

APPROPRIATION AND SUBHEAD	OBJECT CLASS	BUREAU CONTROL NUMBER	SUB AUTH	AUTHORIZATION ACCOUNTING ACTIVITY	TYPE	TRAVEL ORDER (*Tango*) NO	COST CODE

DATE ISSUED

TRAVEL ORDER NUMBER

ESTIMATED COSTS

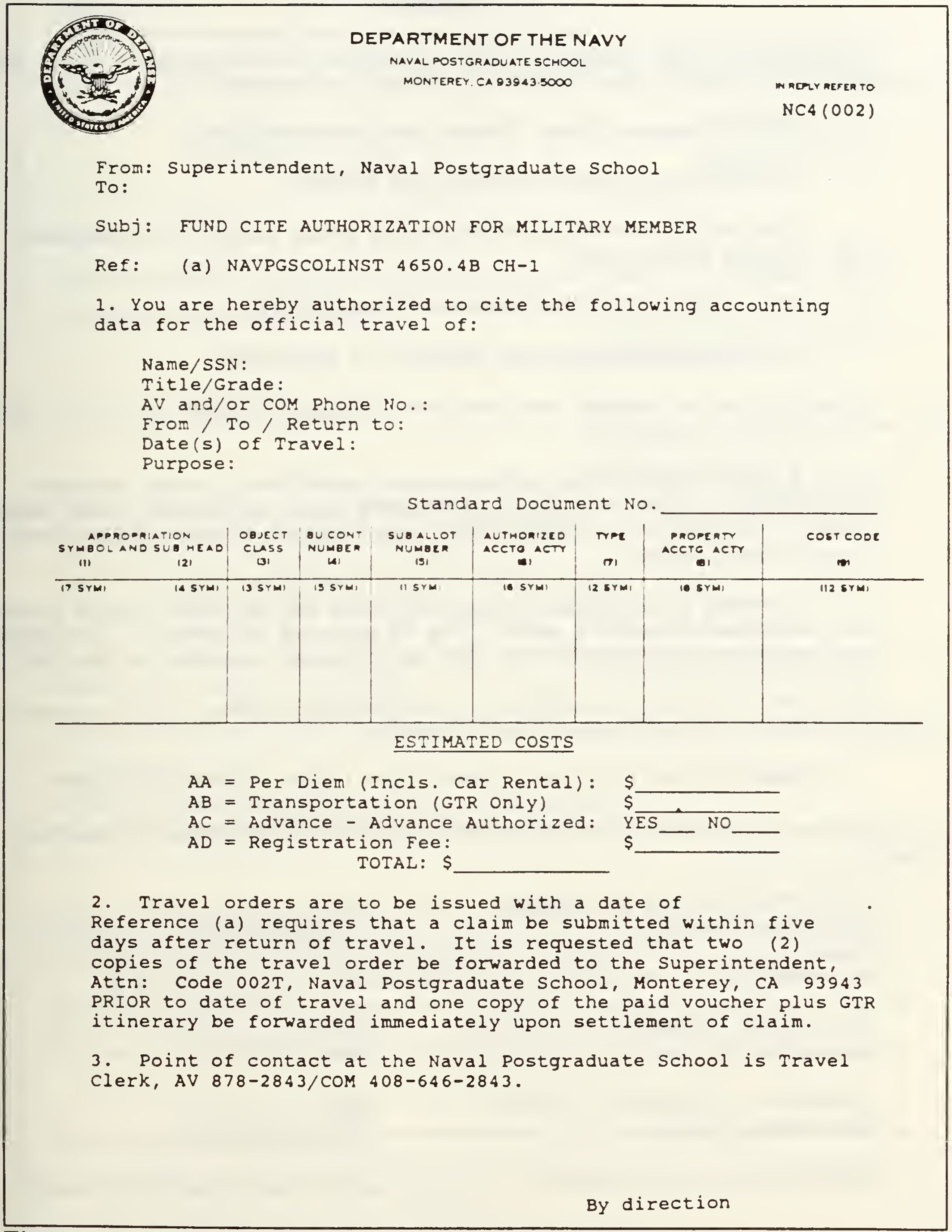
AA = Per Diem (Incls. Car Rental): $__________
AB = Transportation (GTR Only) $__________
AC = Advance - Advance Authorized: YES___ NO___
AD = Registration Fee: $__________
TOTAL: $__________

2. Travel orders are to be issued with a date of . Reference (a) requires that a claim be submitted within five days after return of travel. It is requested that two (2) copies of the travel order be forwarded to the Superintendent, Attn: Code 002T, Naval Postgraduate School, Monterey, CA 93943 PRIOR to date of travel and one copy of the paid voucher plus GTR itinerary be forwarded immediately upon settlement of claim.

3. Point of contact at the Naval Postgraduate School is Travel Clerk, AV 878-2843/COM 408-646-2843.

By direction

Figure 6.11 Fund Cite Authorization for Civilian Employee



DEPARTMENT OF DEFENSE UNITED STATES OF AMERICA

DEPARTMENT OF THE NAVY
NAVAL POSTGRADUATE SCHOOL
MONTEREY, CA 93943-5000

IN REPLY REFER TO
NC4(002)

From: Superintendent, Naval Postgraduate School
To:

Subj: FUND CITE AUTHORIZATION FOR MILITARY MEMBER

Ref: (a) NAVPGSCOLINST 4650.4B CH-1

1. You are hereby authorized to cite the following accounting data for the official travel of:

Name/SSN:
Title/Grade:
AV and/or COM Phone No.:
From / To / Return to:
Date(s) of Travel:
Purpose:

Standard Document No.________________

APPROPRIATION SYMBOL AND (1)	SUB HEAD (2)	OBJECT CLASS (3)	BU CONT NUMBER (4)	SUB ALLOT NUMBER (5)	AUTHORIZED ACCTG ACTY (6)	TYPE (7)	PROPERTY ACCTG ACTY (8)	COST CODE (9)
(7 SYM)	(4 SYM)	(3 SYM)	(5 SYM)	(1 SYM)	(6 SYM)	(2 SYM)	(6 SYM)	(12 SYM)

ESTIMATED COSTS

AA = Per Diem (Incls. Car Rental): $____________
AB = Transportation (GTR Only) $____________
AC = Advance - Advance Authorized: YES____ NO____
AD = Registration Fee: $____________
TOTAL: $____________

2. Travel orders are to be issued with a date of . Reference (a) requires that a claim be submitted within five days after return of travel. It is requested that two (2) copies of the travel order be forwarded to the Superintendent, Attn: Code 002T, Naval Postgraduate School, Monterey, CA 93943 PRIOR to date of travel and one copy of the paid voucher plus GTR itinerary be forwarded immediately upon settlement of claim.

3. Point of contact at the Naval Postgraduate School is Travel Clerk, AV 878-2843/COM 408-646-2843.

By direction

Figure 6.12 Fund Cite Authorization for Military Member

GROUP TRAVEL
(COST)

If a single DD-1320 TEMADD Travel Order is to be used for group travel, submit the following documents to the Comptroller's office for processing:

- **Travel Request Form (Name: Per Attached List).**
- **Original set of travel orders (see sample).**
- **List of all persons included in the group travel (two complete copies of the list).**
- **One copy of the Supplementary Item Sheet.**
- **A Passenger Reservation Request, if applicable.**

In addition to the package mentioned above, for each traveler submit the following for the Comptroller's signature:

- **3 photocopies of the group travel order with 1 copy stamped "ORIGINAL". Write or type the traveler's name and travel order number (Tango Number) in the upper right hand corner of each of the three travel order copies.**
- **3 copies of the page from the group's list of names which contains the individual traveler's name. Use an asterisk or arrow to distinguish the individual concerned from the other names provided on the list.**

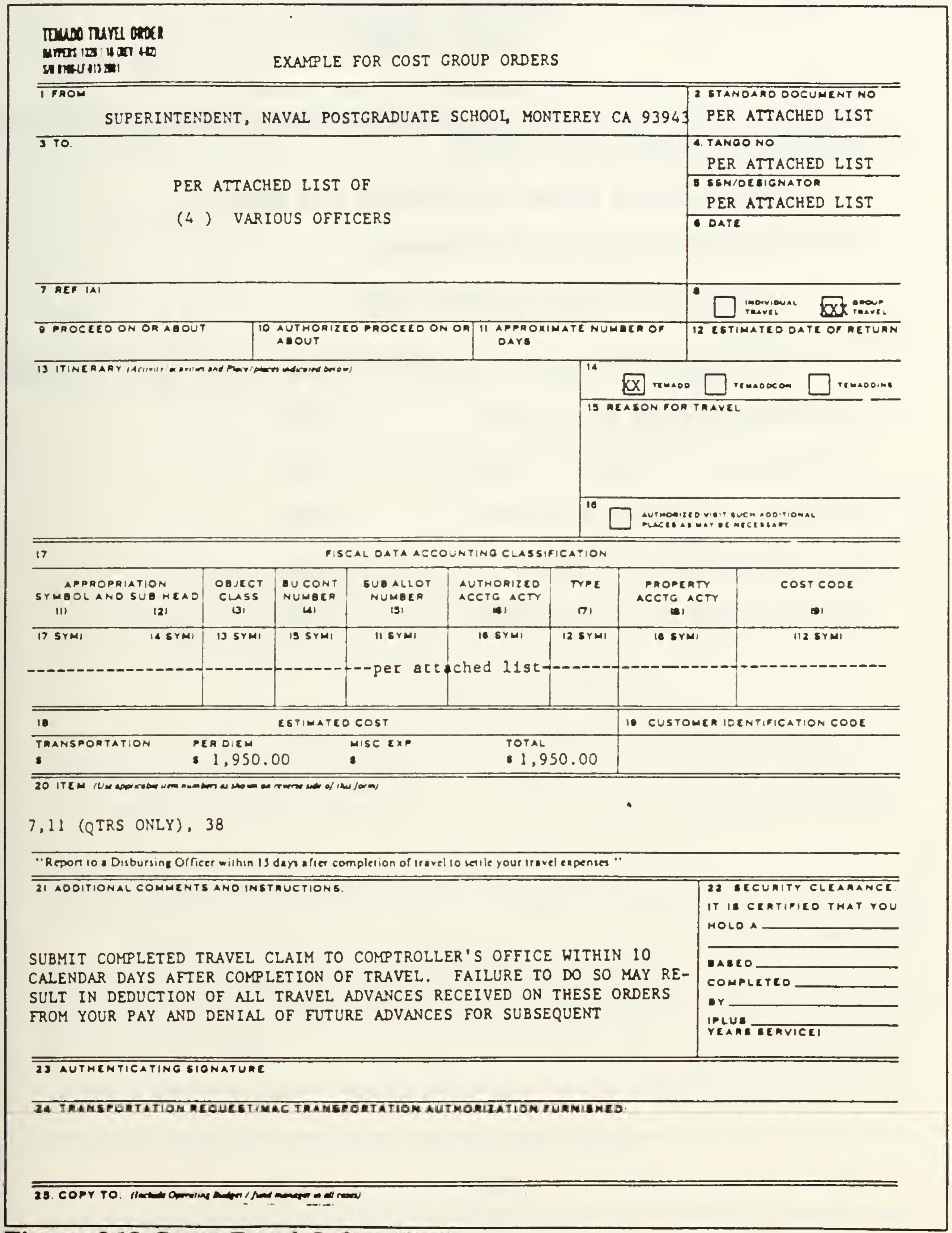
When the copies have been signed by the Comptroller, they will be returned to the originating office for issue to group travel members.

EXAMPLE OF LIST OF NAMES FOR COST GROUP ORDERS

A separate accounting line and serial number is required for each individual traveler.

ANDERSON, DAVID M., LT/USN	SSN:__________
(Accounting Citation)	(Estimated Cost)
Example: AA 1701804.1180 000 62271 0 000179 2D OAB001 622710EABOM E	
BALLINGER, CYNTHIA J., LT/USN	SSN:__________
(Accounting Citation)	(Estimated Cost)
CAMERON, CHARLES B., LT/USN	SSN:__________
(Accounting Citation)	(Estimated Cost)

"RENTAL CAR AUTHORIZED"



TEMADD TRAVEL ORDER
NAVPERS 1320/16 (REV 4-82)
S/N 0106-LF-013-2001

EXAMPLE FOR COST GROUP ORDERS

1 FROM
SUPERINTENDENT, NAVAL POSTGRADUATE SCHOOL, MONTEREY CA 93943

2 STANDARD DOCUMENT NO
PER ATTACHED LIST

3 TO.
PER ATTACHED LIST OF
(4) VARIOUS OFFICERS

4. TANGO NO
PER ATTACHED LIST

5 SSN/DESIGNATOR
PER ATTACHED LIST

6 DATE

7 REF (A)

8 ☐ INDIVIDUAL TRAVEL ☒ GROUP TRAVEL

9 PROCEED ON OR ABOUT

10 AUTHORIZED PROCEED ON OR ABOUT

11 APPROXIMATE NUMBER OF DAYS

12 ESTIMATED DATE OF RETURN

13 ITINERARY *(Activity/activities and Place/places indicated below)*

14 ☒ TEMADD ☐ TEMADDCON ☐ TEMADDINS

15 REASON FOR TRAVEL

16 ☐ AUTHORIZED VISIT SUCH ADDITIONAL PLACES AS MAY BE NECESSARY

17 FISCAL DATA ACCOUNTING CLASSIFICATION

APPROPRIATION SYMBOL AND SUB HEAD (1)	(2)	OBJECT CLASS (3)	BU CONT NUMBER (4)	SUB ALLOT NUMBER (5)	AUTHORIZED ACCTG ACTY (6)	TYPE (7)	PROPERTY ACCTG ACTY (8)	COST CODE (9)
17 SYM	4 SYM	13 SYM	15 SYM	11 SYM	16 SYM	12 SYM	16 SYM	12 SYM
----------	----------	----------	----------	---per att	ached list---	----------	----------	----------

18 ESTIMATED COST

TRANSPORTATION	PER DIEM	MISC EXP	TOTAL
$	$ 1,950.00	$	$ 1,950.00

19 CUSTOMER IDENTIFICATION CODE

20 ITEM *(Use applicable item numbers as shown on reverse side of this form)*
7,11 (QTRS ONLY), 38

"Report to a Disbursing Officer within 15 days after completion of travel to settle your travel expenses."

21 ADDITIONAL COMMENTS AND INSTRUCTIONS.

SUBMIT COMPLETED TRAVEL CLAIM TO COMPTROLLER'S OFFICE WITHIN 10 CALENDAR DAYS AFTER COMPLETION OF TRAVEL. FAILURE TO DO SO MAY RESULT IN DEDUCTION OF ALL TRAVEL ADVANCES RECEIVED ON THESE ORDERS FROM YOUR PAY AND DENIAL OF FUTURE ADVANCES FOR SUBSEQUENT

22 SECURITY CLEARANCE
IT IS CERTIFIED THAT YOU HOLD A ______
______
BASED ______
COMPLETED ______
BY ______
(PLUS ______ YEARS SERVICE)

23 AUTHENTICATING SIGNATURE

24 TRANSPORTATION REQUEST/MAC TRANSPORTATION AUTHORIZATION FURNISHED

25. COPY TO. *(Include Operating Budget / fund manager in all cases)*

Figure 6.13 Group Travel Orders (Cost)

GROUP TRAVEL
(NO COST)

For group travel at no cost to the government, forward the following documents to the Comptroller Department for processing:

- **Original set of group travel orders (see sample).**
- **2 copies of group's list of names.**
- **1 copy of the Travel Request Form.**

EXAMPLE OF LIST OF NAMES FOR NO COST GROUP ORDERS

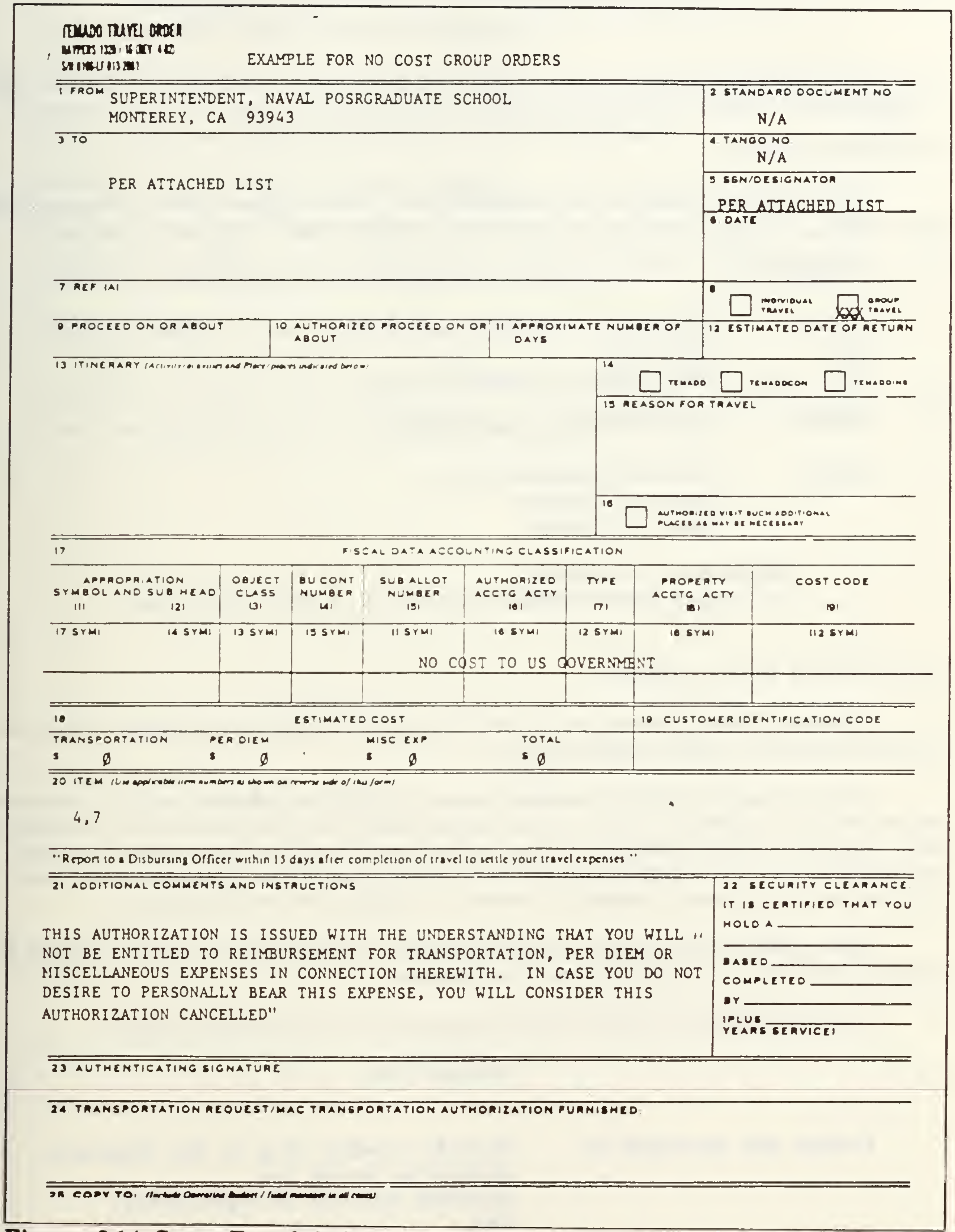
ANDERSON, DAVID M., LT/USN SSN:________

BALLINGER, CYNTHIA J., LT/USN SSN:________

CAMERON, CHARLES B., LT/USN SSN:________

DEE, SUZANNE M., LT/USN SSN:________

ETTER, RAYMOND W., 1LT/USMC SSN:________



TEMADD TRAVEL ORDER
NAVPERS 1320/16 (REV 4-82)
S/N 0106-LF-013-2001

EXAMPLE FOR NO COST GROUP ORDERS

1 FROM SUPERINTENDENT, NAVAL POSRGRADUATE SCHOOL
MONTEREY, CA 93943

2 STANDARD DOCUMENT NO N/A

3 TO PER ATTACHED LIST

4 TANGO NO N/A

5 SSN/DESIGNATOR PER ATTACHED LIST

6 DATE

7 REF (A)

8 ☐ INDIVIDUAL TRAVEL ☒ GROUP TRAVEL

9 PROCEED ON OR ABOUT

10 AUTHORIZED PROCEED ON OR ABOUT

11 APPROXIMATE NUMBER OF DAYS

12 ESTIMATED DATE OF RETURN

13 ITINERARY *(Activity/activities and Place/places indicated below)*

14 ☐ TEMADD ☐ TEMADDCON ☐ TEMADDINS

15 REASON FOR TRAVEL

16 ☐ AUTHORIZED VISIT SUCH ADDITIONAL PLACES AS MAY BE NECESSARY

17 FISCAL DATA ACCOUNTING CLASSIFICATION

APPROPRIATION SYMBOL AND SUB HEAD (1) (2)	OBJECT CLASS (3)	BU CONT NUMBER (4)	SUB ALLOT NUMBER (5)	AUTHORIZED ACCTG ACTY (6)	TYPE (7)	PROPERTY ACCTG ACTY (8)	COST CODE (9)
(7 SYM) (4 SYM)	(3 SYM)	(5 SYM)	(1 SYM)	(6 SYM)	(2 SYM)	(6 SYM)	(12 SYM)
			NO COST TO US GOVERNMENT				

18 ESTIMATED COST

TRANSPORTATION	PER DIEM	MISC EXP	TOTAL
$ 0	$ 0	$ 0	$ 0

19 CUSTOMER IDENTIFICATION CODE

20 ITEM *(Use applicable item numbers as shown on reverse side of this form)*

4,7

"Report to a Disbursing Officer within 15 days after completion of travel to settle your travel expenses"

21 ADDITIONAL COMMENTS AND INSTRUCTIONS

THIS AUTHORIZATION IS ISSUED WITH THE UNDERSTANDING THAT YOU WILL " NOT BE ENTITLED TO REIMBURSEMENT FOR TRANSPORTATION, PER DIEM OR MISCELLANEOUS EXPENSES IN CONNECTION THEREWITH. IN CASE YOU DO NOT DESIRE TO PERSONALLY BEAR THIS EXPENSE, YOU WILL CONSIDER THIS AUTHORIZATION CANCELLED"

22 SECURITY CLEARANCE
IT IS CERTIFIED THAT YOU HOLD A ____
BASED ____
COMPLETED ____
BY ____
(PLUS ____ YEARS SERVICE)

23 AUTHENTICATING SIGNATURE

24 TRANSPORTATION REQUEST/MAC TRANSPORTATION AUTHORIZATION FURNISHED

25 COPY TO: *(Include Operating Budget / fund manager in all cases)*

Figure 6.14 Group Travel Orders (No Cost)

AMENDMENTS TO TRAVEL ORDERS

Travel orders may be amended either by (1) memorandum or (2) Amended Travel Orders.

(1) Memorandum:

If there is no change to the estimated cost of the original order, a memorandum will suffice. Be sure to attach a copy of the original travel order to the memo.

EXAMPLE:

From: Chairman, Code xx
To: OIC, PSD
Via: Comptroller, Code 002

SUBJ: Amendment to Travel Order

Ref:(a) Standard Document No.
Name of Traveler
Dates of Travel

1. Description of change.
(i.e. travel dates, authorizing leave at TDY point, etc.)

(2) Amended Travel Orders:

Amended Travel Orders are required for amendments that increase or decrease the estimated amount on the original orders.

Only the amount of the increase/decrease should be reflected on the amendment, supported by an appropriate line of accounting data (AA if per diem, AB if transportation etc). Estimated costs appearing on the original orders will not be repeated on the amendment; i.e., if the original orders show an amount in the Transportation Block, and this amount is not being changed, it should not appear on the amendment.

The "total" amount shown on the amendment will reflect the total indicated on the original order plus or minus the increase/decrease.

Clearly define the reason for the amendment in the remarks section.

EXAMPLE

Orders are amended to:
Include another stop in the itinerary.
Authorize rental car.
Increase amount of registration.
Etc.

Travel orders are to be completed as follows:

DD-FORM 1610 Civilian Travel Orders.

Complete blocks 1-11. Any changes to these blocks must be reflected on the amendment. If there are no changes, the same information must be repeated. Block 7 will read "AMENDMENT TO N622719xTOxxxxx."

NAVPERS 1320 Military Travel Orders.

Complete blocks 1-15. Any changes to these blocks must be reflected on the amendment. If there are no changes, the same information will be repeated. Block 2 will read "AMENDMENT TO N622719xTOxxxxx."

NAVSO 4650/10 Invitational Travel Orders.

Complete blocks 2-11. Any changes to these blocks must be reflected on the amendment. If there are no changes, the same information will be repeated. Block 2 will read "AMENDMENT TO N622719xTOxxxxx."

CANCELLATIONS

It is the responsibility of the department originating the travel orders, to notify the following offices when the orders have been cancelled:

1. **Comptroller Department, in all instances.**
2. **Personnel Support Detachment, when a travel advance or airline tickets have been requested.**
3. **Research Administration Office, when research funds are involved.**

With per diem only requests, send the original travel orders and a cancellation memo to the Comptroller Travel Clerk (Code 002T). Forward a copy of each document to Research Administration, if research funds have been obligated.

When airline tickets and/or a travel advance have been requested, send the original documents and an additional copy of the cancellation memo to Code 002T, via the PSD Travel/Transportation Supervisor. Forward copies of the documents to the Research Administration Office, if research funds have been obligated.

EXAMPLE

From: **Department**
To: **002T**
Via: **PSD Travel/Transportation Supervisor**

SUBJ: **CANCELLATION OF TRAVEL ORDER**

Ref:(a) **Standard Document Number**
Name of Traveler
Date(s) of Travel

Copy to Code 012 when research funds are involved.

If a travel advance check or airline ticket has already been picked up, it must be returned with the cancellation memo and original travel orders to the PSD Travel/Transportation Supervisor.

If a check for advance travel has already been cashed, a check in the amount of the advance, made out to the "Treasurer of the United States", must be submitted to the PSD Travel/Transportation Supervisor, together with the original orders and cancellation memorandum.

LOCAL TRAVEL OF LESS THAN 10 HOURS INVOLVING NO PAYMENT OF PER DIEM

For local area travel involving:

1. a privately owned vehicle (POV),
2. total travel time (including stopover) less than 10 hours,
3. and no payment of per diem;

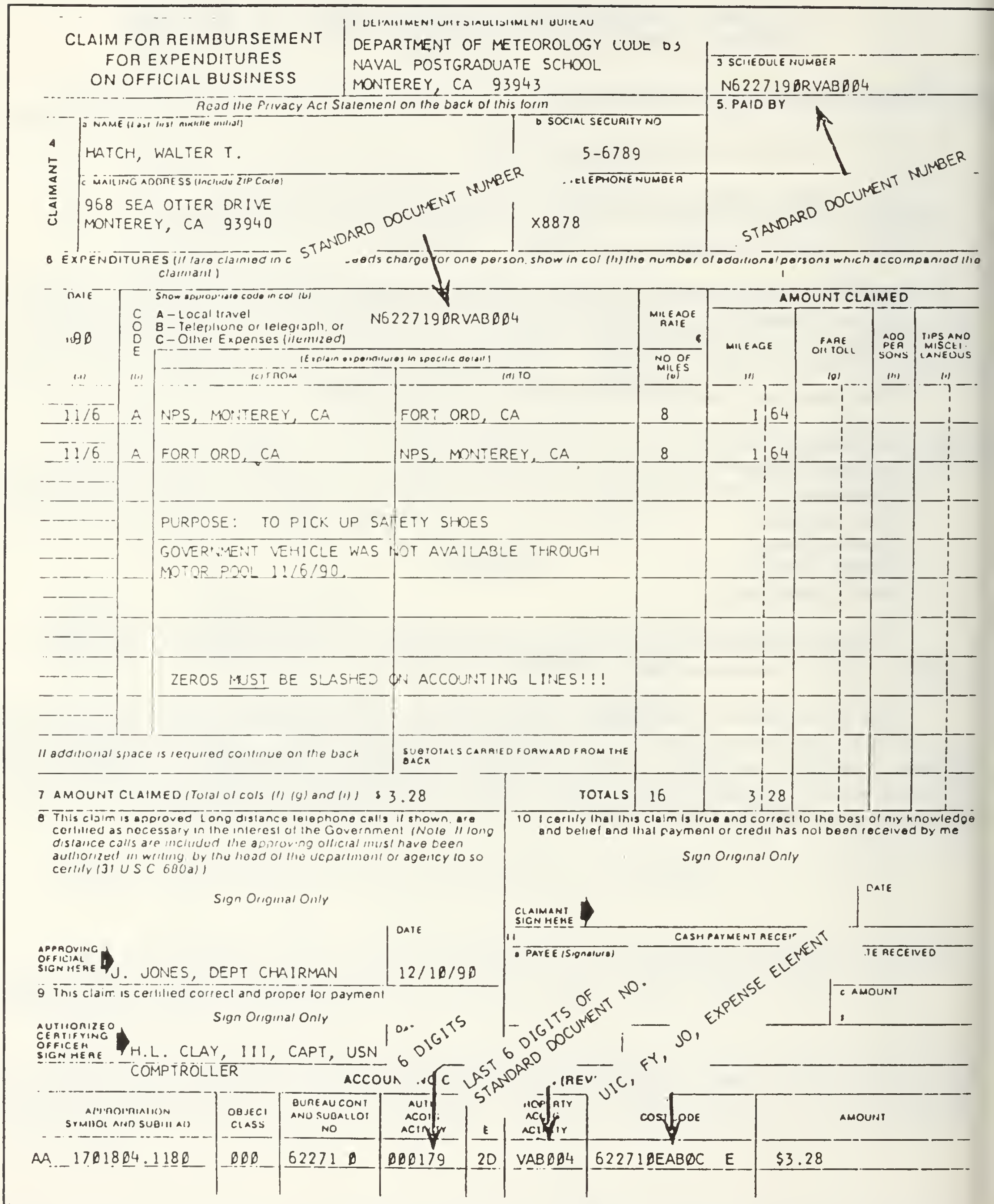
Reimbursement of mileage expense and associated fees, i.e., toll bridges, parking, etc., may be claimed on a SF-1164 Claim for Reimbursement. The mileage rate for local travel (effective 9/17/89) is $0.24.

The following counties are defined as "local travel":

Alameda
Contra Costa
Monterey
San Benito
Santa Clara
Santa Cruz
San Francisco

Verbal authorization, from officials designated in NAVPGSCOLINST 4650.4B, is required prior to commencement of travel.

The first choice of all official travel must be by government vehicle. No later than one working day prior to commencing travel, the traveler must contact the motor pool and request a vehicle reservation. Non-availability of a government vehicle is justification for privately owned vehicle reimbursement. Cite the date and time of the phone call to the motor pool, as well as the purpose of the trip, on the SF-1164 (see sample).



CLAIM FOR REIMBURSEMENT
FOR EXPENDITURES
ON OFFICIAL BUSINESS

1 DEPARTMENT OR ESTABLISHMENT BUREAU
DEPARTMENT OF METEOROLOGY CODE 63
NAVAL POSTGRADUATE SCHOOL
MONTEREY, CA 93943

3 SCHEDULE NUMBER
N6227190RVAB004

Read the Privacy Act Statement on the back of this form

5. PAID BY

STANDARD DOCUMENT NUMBER

4 CLAIMANT

a NAME (Last first middle initial)
HATCH, WALTER T.

b SOCIAL SECURITY NO
5-6789

c MAILING ADDRESS (Include ZIP Code)
968 SEA OTTER DRIVE
MONTEREY, CA 93940

TELEPHONE NUMBER
X8878

STANDARD DOCUMENT NUMBER

6 EXPENDITURES (If fare claimed in c ... eeds charge for one person, show in col (h) the number of additional persons which accompanied the claimant)

Show appropriate code in col (b)
A – Local travel
B – Telephone or telegraph, or
C – Other Expenses (itemized)

N6227190RVAB004

(Explain expenditures in specific detail)

DATE 1990 (a)	CODE (b)	(c) FROM	(d) TO	MILEAGE RATE ¢ / NO OF MILES (e)	AMOUNT CLAIMED: MILEAGE (f)	FARE OR TOLL (g)	ADD PER SONS (h)	TIPS AND MISCEL-LANEOUS (i)
11/6	A	NPS, MONTEREY, CA	FORT ORD, CA	8	1.64			
11/6	A	FORT ORD, CA	NPS, MONTEREY, CA	8	1.64			
		PURPOSE: TO PICK UP SAFETY SHOES						
		GOVERNMENT VEHICLE WAS NOT AVAILABLE THROUGH MOTOR POOL 11/6/90.						
		ZEROS MUST BE SLASHED ON ACCOUNTING LINES!!!						
If additional space is required continue on the back			SUBTOTALS CARRIED FORWARD FROM THE BACK					
			TOTALS	16	3.28			

7 AMOUNT CLAIMED (Total of cols (f) (g) and (i)) $ 3.28

8 This claim is approved. Long distance telephone calls, if shown, are certified as necessary in the interest of the Government. (Note: If long distance calls are included, the approving official must have been authorized, in writing, by the head of the department or agency to so certify (31 U.S.C. 680a).)

Sign Original Only

APPROVING OFFICIAL SIGN HERE J. JONES, DEPT CHAIRMAN
DATE 12/10/90

9 This claim is certified correct and proper for payment

Sign Original Only

AUTHORIZED CERTIFYING OFFICER SIGN HERE H.L. CLAY, III, CAPT, USN
COMPTROLLER
DATE

10 I certify that this claim is true and correct to the best of my knowledge and belief and that payment or credit has not been received by me

Sign Original Only

CLAIMANT SIGN HERE
DATE

11 CASH PAYMENT RECEIPT
a PAYEE (Signature)
DATE RECEIVED
c AMOUNT
$

6 DIGITS

LAST 6 DIGITS OF STANDARD DOCUMENT NO.

UIC, FY, JO, EXPENSE ELEMENT

ACCOUNTING C (REV

APPROPRIATION SYMBOL AND SUBHEAD	OBJECT CLASS	BUREAU CONT AND SUBALLOT NO	AUTH ACCTG ACTIVITY	E	PROPERTY ACCTG ACTIVITY	COST CODE	AMOUNT
AA 1701804.1180	000	62271 0	000179	2D	VAB004	622710EAB0C E	$3.28

Figure 6.15 SF 1164 Claim for Reimbursement for Expenditures on Official Business

TRAVEL CLAIMS DD-FORM 1351-2 TRAVEL VOUCHER OR SUB-VOUCHER

Travel claims must be submitted to the Comptroller's office, Code 002T, within five calendar days following completion of travel.

It is preferred that claims be typed; if handwritten, use black, or blue ink, and press hard enough to ensure that all copies are legible. Staple all required documents to the travel claim form. It is the traveler's responsibility to ensure the completeness of the travel claim.

The following is a list of items required for travel reimbursement:

DD-FORM 1351-2 Travel Claim.

- **Original and two (2) copies of travel orders with legible signatures.**
- **Original and one (1) copy of all receipts, i.e., rental car, gas receipts for rental cars, lodging, and any other expenses of $25.00 or more. Do not include charge card receipts.**
- **Original and one copy of official GTR endorsement. These are attached to original orders when ticketed by the PSD Transportation Office - do not detach them from the original orders. Return all unused airline tickets for a refund with the white passenger coupon and an additional copy of the orders for proper credit.**
- **Original and two (2) copies of all endorsements, i.e., government quarters, etc. Note: Regarding ITOs, an endorsement from the billeting officer must be on the original orders certifying the availability/non-availability of government quarters.**
- **Original and 1 copy of lost receipt statement, if applicable.**
- **Block 9 of the DD 1351-2: owner/operator must be checked to receive POV mileage.**
- **Official phone calls must be listed as official and highlighted for the Comptroller's signature.**

The "Brief Sheet for Military/Civilian Travellers on Official Orders", is attached to all travel orders by the Personnel Support Detachment and provides guidelines to be followed in preparing a travel claim. The following guidance will assist in completing the DD Form 1351-2 (refer to Figures 6.15 and 6.16):

A. Check Mailing Address.

Home address (be sure to include zip code); Department Code/SMC, NPS,
Monterey, CA 93943

B. Prior Travel Payments or Advances.

Include all advances received.

C. Itinerary.

The itinerary on the claim must be in agreement with the itinerary on the orders, i.e., those locations marked "TD" (temporary duty) under "Reason For Stop" must appear in the itinerary on the travel order.

Show hours and dates for all authorized stops, including stops that required a change in mode of travel. This does not include brief stops at airports to change planes.

Complete "Mode of Travel" and "Reason for Stop" blocks. Abbreviations are shown in 25a and 25b on the reverse side of the claim form. The following is a listing of commonly used codes:

PA - **Private Automobile.**

TP - **Commercial air obtained from PSD Transportation.**

CP - **Commercial air purchased at own expense (must be authorized in advance via memo to PSD).**

GP - **Government transportation, i.e., scheduled military flights.**

D. Reimbursable Expenses.

List all expenses incurred that do not involve lodging and meals. Only the expenses authorized on the travel orders will be reimbursed, e.g., registration fee, rental car and gas, taxi, etc.

E. Long distance telephone calls.

Indicate the dollar amount claimed and highlight it for the Comptroller's signature. The claim must be substantiated by a statement indicating that the call(s) were for official business. The call(s) origin and destination, date and cost must be clearly indicated.

F. GTR.

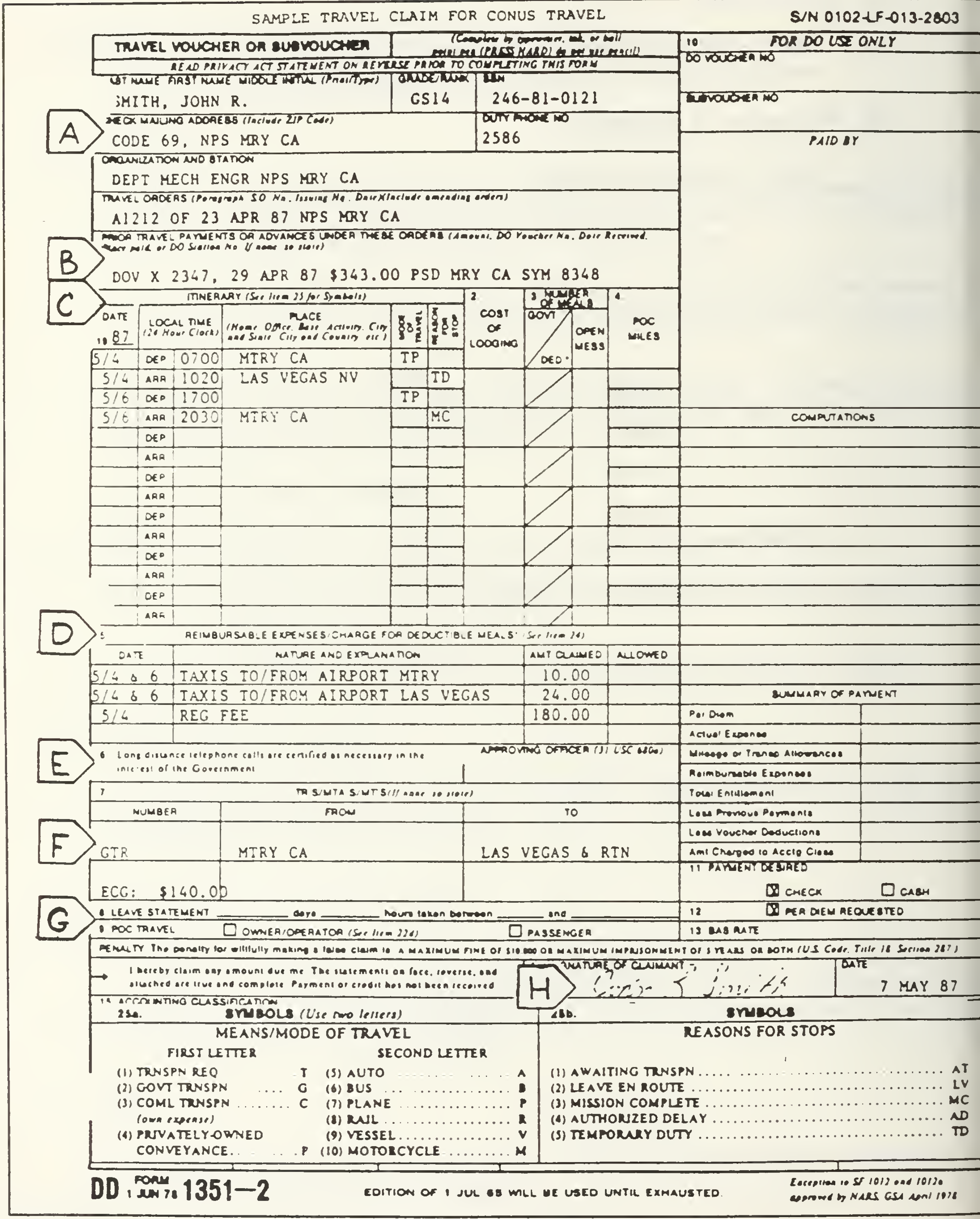
Ensure that the GTR cost, as shown on the GTR endorsement attached to the orders, is entered in this block.

G. POC Travel.

The "OWNER/OPERATOR" block must be checked to receive POV mileage (includes automobile, motorcycle, plane, etc.).

H. Signature of Claimant.

Must be signed and dated.



SAMPLE TRAVEL CLAIM FOR CONUS TRAVEL

S/N 0102-LF-013-2803

TRAVEL VOUCHER OR SUBVOUCHER (Complete by typewriter, ink, or ball point pen (PRESS HARD) do not use pencil)

READ PRIVACY ACT STATEMENT ON REVERSE PRIOR TO COMPLETING THIS FORM

10 FOR DO USE ONLY
DO VOUCHER NO
SUBVOUCHER NO
PAID BY

LAST NAME FIRST NAME MIDDLE INITIAL (Print/Type): SHITH, JOHN R.
GRADE/RANK: GS14
SSN: 246-81-0121
CHECK MAILING ADDRESS (Include ZIP Code): CODE 69, NPS MRY CA
DUTY PHONE NO: 2586
ORGANIZATION AND STATION: DEPT MECH ENGR NPS MRY CA
TRAVEL ORDERS (Paragraph SO No., Issuing Hq., Date)(Include amending orders): A1212 OF 23 APR 87 NPS MRY CA
PRIOR TRAVEL PAYMENTS OR ADVANCES UNDER THESE ORDERS (Amount, DO Voucher No., Date Received, Place paid, or DO Station No. If none, so state): DOV X 2347, 29 APR 87 $343.00 PSD MRY CA SYM 8348

ITINERARY (See item 25 for Symbols)						2	3 NUMBER OF MEALS		4
DATE 19 87	LOCAL TIME (24 Hour Clock)		PLACE (Home, Office, Base, Activity, City and State, City and Country, etc.)	MODE OF TRAVEL	REASON FOR STOP	COST OF LODGING	GOVT / DED*	OPEN MESS	POC MILES
5/4	DEP	0700	MTRY CA	TP					
5/4	ARR	1020	LAS VEGAS NV		TD				
5/6	DEP	1700		TP					
5/6	ARR	2030	MTRY CA		MC				
	DEP								
	ARR								
	DEP								
	ARR								
	DEP								
	ARR								
	DEP								
	ARR								
	DEP								
	ARR								

COMPUTATIONS

5 REIMBURSABLE EXPENSES/CHARGE FOR DEDUCTIBLE MEALS* (See item 24)

DATE	NATURE AND EXPLANATION	AMT CLAIMED	ALLOWED
5/4 & 6	TAXIS TO/FROM AIRPORT MTRY	10.00	
5/4 & 6	TAXIS TO/FROM AIRPORT LAS VEGAS	24.00	
5/4	REG FEE	180.00	

SUMMARY OF PAYMENT

Per Diem	
Actual Expense	
Mileage or Transp Allowances	
Reimbursable Expenses	
Total Entitlement	
Less Previous Payments	
Less Voucher Deductions	
Amt Charged to Acctg Class	

6 Long distance telephone calls are certified as necessary in the interest of the Government
APPROVING OFFICER (31 USC 680a)

7 TR S/MTA S/MT S (If none, so state)

NUMBER	FROM	TO
GTR	MTRY CA	LAS VEGAS & RTN
ECG: $140.00		

11 PAYMENT DESIRED ☒ CHECK ☐ CASH
12 ☒ PER DIEM REQUESTED
13 BAS RATE

8 LEAVE STATEMENT ______ days ______ hours taken between ______ and ______
9 POC TRAVEL ☐ OWNER/OPERATOR (See item 22d) ☐ PASSENGER

PENALTY The penalty for willfully making a false claim is A MAXIMUM FINE OF $10,000 OR MAXIMUM IMPRISONMENT OF 5 YEARS OR BOTH (U.S. Code, Title 18, Section 287)

I hereby claim any amount due me. The statements on face, reverse, and attached are true and complete. Payment or credit has not been received
SIGNATURE OF CLAIMANT
DATE: 7 MAY 87

15 ACCOUNTING CLASSIFICATION

25a. SYMBOLS (Use two letters)

MEANS/MODE OF TRAVEL

FIRST LETTER		SECOND LETTER	
(1) TRNSPN REQ	T	(5) AUTO	A
(2) GOVT TRNSPN	G	(6) BUS	B
(3) COML TRNSPN (own expense)	C	(7) PLANE	P
		(8) RAIL	R
(4) PRIVATELY-OWNED CONVEYANCE	P	(9) VESSEL	V
		(10) MOTORCYCLE	M

25b. SYMBOLS

REASONS FOR STOPS

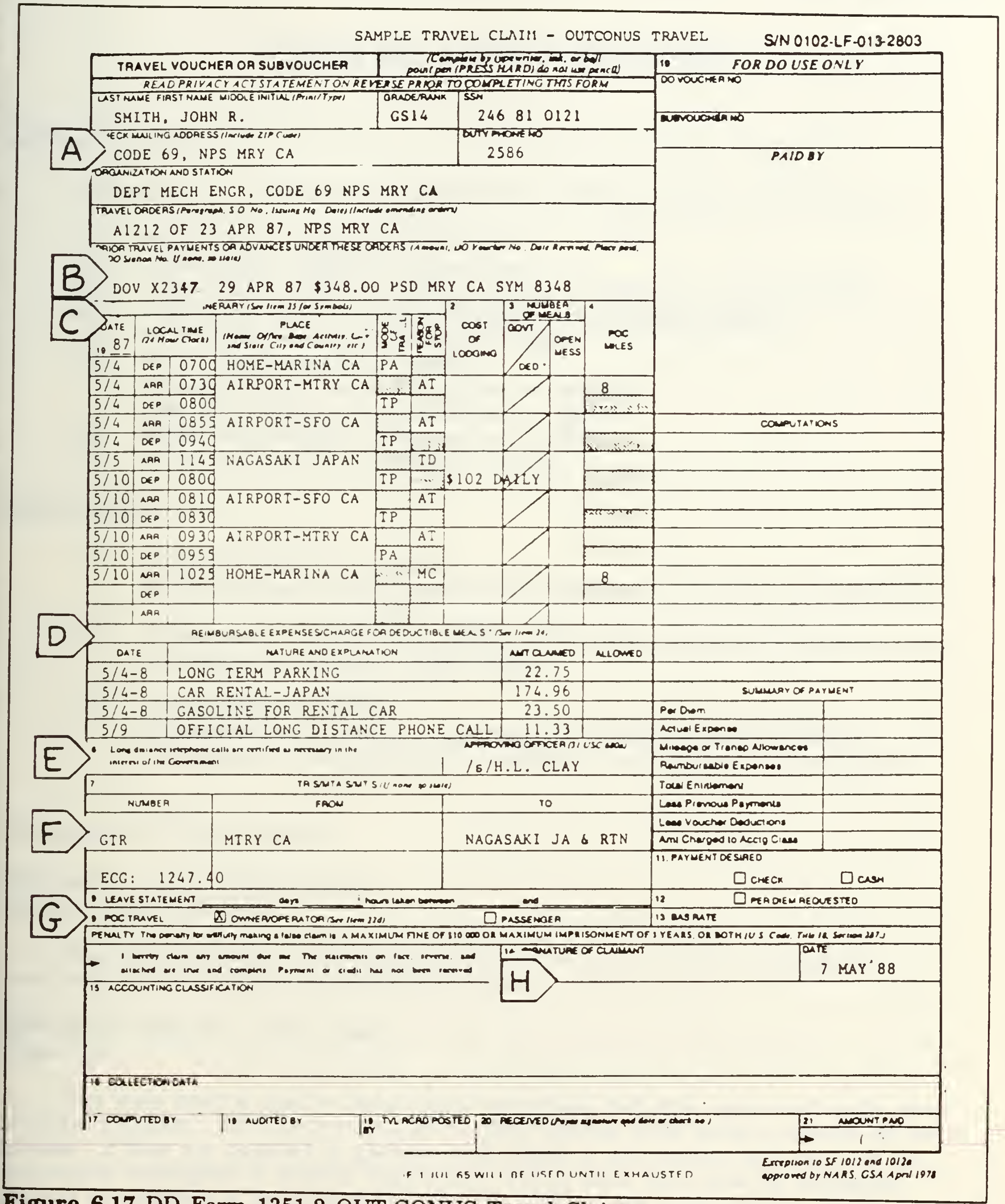
(1) AWAITING TRNSPN	AT
(2) LEAVE EN ROUTE	LV
(3) MISSION COMPLETE	MC
(4) AUTHORIZED DELAY	AD
(5) TEMPORARY DUTY	TD

DD FORM 1 JUN 78 1351—2

EDITION OF 1 JUL 65 WILL BE USED UNTIL EXHAUSTED.

Exception to SF 1012 and 1012a approved by NARS, GSA April 1978

Figure 6.16 DD Form 1351-2 CONUS Travel Claim



SAMPLE TRAVEL CLAIM - OUTCONUS TRAVEL

S/N 0102-LF-013-2803

TRAVEL VOUCHER OR SUBVOUCHER

(Complete by typewriter, ink, or ball point pen (PRESS HARD) do not use pencil)

READ PRIVACY ACT STATEMENT ON REVERSE PRIOR TO COMPLETING THIS FORM

LAST NAME FIRST NAME MIDDLE INITIAL *(Print/Type)* SMITH, JOHN R.	GRADE/RANK GS14	SSN 246 81 0121
CHECK MAILING ADDRESS *(Include ZIP Code)* CODE 69, NPS MRY CA		DUTY PHONE NO 2586

ORGANIZATION AND STATION
DEPT MECH ENGR, CODE 69 NPS MRY CA

TRAVEL ORDERS *(Paragraph, S O No., Issuing Hq Date) (Include amending orders)*
A1212 OF 23 APR 87, NPS MRY CA

PRIOR TRAVEL PAYMENTS OR ADVANCES UNDER THESE ORDERS *(Amount, DO Voucher No., Date Received, Place paid, DO Station No. If none, so state)*
DOV X2347 29 APR 87 $348.00 PSD MRY CA SYM 8348

ITINERARY *(See Item 15 for Symbols)*

DATE 19 87	LOCAL TIME (24 Hour Clock)		PLACE *(Home, Office, Base, Activity, City and State, City and Country, etc.)*	MODE OF TRAVEL	REASON FOR STOP	2 COST OF LODGING	3 NUMBER OF MEALS GOVT / DED *	OPEN MESS	4 POC MILES
5/4	DEP	0700	HOME-MARINA CA	PA					
5/4	ARR	0730	AIRPORT-MTRY CA		AT				8
5/4	DEP	0800		TP					
5/4	ARR	0855	AIRPORT-SFO CA		AT				
5/4	DEP	0940		TP					
5/5	ARR	1145	NAGASAKI JAPAN		TD				
5/10	DEP	0800		TP		$102 DAILY			
5/10	ARR	0810	AIRPORT-SFO CA		AT				
5/10	DEP	0830		TP					
5/10	ARR	0930	AIRPORT-MTRY CA		AT				
5/10	DEP	0955		PA					
5/10	ARR	1025	HOME-MARINA CA		MC				8
	DEP								
	ARR								

REIMBURSABLE EXPENSES/CHARGE FOR DEDUCTIBLE MEALS * *(See item 24)*

DATE	NATURE AND EXPLANATION	AMT CLAIMED	ALLOWED
5/4-8	LONG TERM PARKING	22.75	
5/4-8	CAR RENTAL-JAPAN	174.96	
5/4-8	GASOLINE FOR RENTAL CAR	23.50	
5/9	OFFICIAL LONG DISTANCE PHONE CALL	11.33	

6 Long distance telephone calls are certified as necessary in the interest of the Government

APPROVING OFFICER *(31 USC 680a)*
/s/H.L. CLAY

7 TR S/MTA S/MT S *(If none, so state)*

NUMBER	FROM	TO
GTR	MTRY CA	NAGASAKI JA & RTN
ECG: 1247.40		

8 LEAVE STATEMENT ______ days ______ hours taken between ______ and ______

9 POC TRAVEL ☒ OWNER/OPERATOR *(See Item 22d)* ☐ PASSENGER

PENALTY The penalty for willfully making a false claim is A MAXIMUM FINE OF $10 000 OR MAXIMUM IMPRISONMENT OF 5 YEARS, OR BOTH *(U S Code, Title 18, Section 287)*

I hereby claim any amount due me. The statements on face, reverse, and attached are true and complete. Payment or credit has not been received

14 SIGNATURE OF CLAIMANT

DATE
7 MAY'88

15 ACCOUNTING CLASSIFICATION

16 COLLECTION DATA

17 COMPUTED BY

18 AUDITED BY

19 TVL RCRD POSTED BY

20 RECEIVED *(Payee signature and date or check no.)*

21 AMOUNT PAID

10 *FOR DO USE ONLY*

DO VOUCHER NO

SUBVOUCHER NO

PAID BY

COMPUTATIONS

SUMMARY OF PAYMENT

Per Diem	
Actual Expense	
Mileage or Transp Allowances	
Reimbursable Expenses	
Total Entitlement	
Less Previous Payments	
Less Voucher Deductions	
Amt Charged to Acctg Class	

11. PAYMENT DESIRED ☐ CHECK ☐ CASH

12 ☐ PER DIEM REQUESTED

13 BAS RATE

DF 1 JUL 65 WILL BE USED UNTIL EXHAUSTED

Exception to SF 1012 and 1012a approved by NARS, GSA April 1978

Figure 6.17 DD Form 1351-2 OUT-CONUS Travel Claim

CHAPTER 7

LABOR DOCUMENTS

Introduction.

Cost centers use several forms to document and approve labor. These include:

(1) NDW-NRFC 7410/17 Time Card.
(2) NDW-NRFC 7410/17A Labor Card.
(3) NDW-NRFC 12600/1 T&A Overtime Certification Authorization.
(4) NAVEXOS-4377 Overtime Request and Authorization.
(5) Bi-Weekly Report of Hours Worked.
(6) SF-71 Application for Leave.
(7) Faculty Employment Certification Memo.
Faculty Employment Certification Letter.
(8) SF-50 Notification of Personnel Action.
(9) SF-52 Request for Personnel Action.

References.

(1) NRFCWASHINST 7410.3A
Recording and Reporting Attendance/Leave of Civilian Employees.

(2) Department of the Navy, Office of Civilian Personnel Management; Managing To Payroll Desk Guide.

(3) SECNAVINST 12510.9
Delegation of Position Classification Authority and Position Management Responsibility Consistent with Payroll Management.

Document Description.

NDW-NRFC 7410/17 Time Card.
(Figures 7.1 through 7.24

The NRFC 7410/17 is the official document for reporting and recording the attendance and leave taken by civilian employees.

NDW-NRFC 7410/17A Labor Card.
(Figure 7.2)

The labor card is used to report labor exceptions and work performed under other job order numbers. Most employees perform their routine work under a specific job order number. If they are required to perform work which is not routine, let's say they are temporarily reassigned to another department, then a labor card must be submitted showing the number of hours worked under the different job order number. Notice that the labor card has a provision for several job order numbers, while the time card does not.

NDW-NRFC 12600/1 T&A/Overtime Certification Authorization.
(Figure 7.25)

This form is used for submitting the names of persons authorized to approve and certify Time Cards, Labor Cards and Overtime Requests. Authorization authority must b on file at the FIPC before personnel can approve or certify these documents.

NAVEXOS 4377 Overtime Request and Authorization.
(Figures 7.26 & 7.27)

This form is used to authorize overtime for NPS employees. The form must be submitted to the Payroll and Timekeeping Division prior to overtime work actually being performed. Justification must also be provided for overtime labor.

Bi-Weekly Report of Hours Worked.
(Figure 7.28)

The Bi-Weekly Report of Hours Worked is an internal memo used by employees to indicate the hours worked during a particular pay period. The report is submitted to the department timekeeper, who uses the information to prepare the time and labor cards.

SF-71 Application for Leave.
(Figures 7.29 & 7.30)

The Application for Leave is used when an employee requests leave, or when leave was taken and the employee was unable to initial the T&A Card beforehand. For sick leave exceeding three days, a supporting statement from the attending physician must be attached to the SF-71. If the SF-71 and statement are not submitted by the individual concerned within two pay periods following the sick leave, a supplemental T&A Card mus be submitted to the FIPC (NRFC), changing Sick Leave to Annual Leave or Leave Without Pay (LWOP).

Faculty Employment Certification Memo/
Faculty Employment Certification Letter.
(Figures 7.31 & 7.32)

This document is prepared by each department and indicates the number of hours department faculty members work during a particular pay period. The form also documents whether hours worked should be charged to direct funds, direct funded research, or reimbursable research accounts. The completed memo is sent to the Academic Planning Department, who prepare a Faculty Employment Certification Letter. (The Faculty Employment Certification Letter consolidates the information provided on the memo). The letter, together with the departmental memos, is then forwarded to the Payroll and Timekeeping Division where it is used to prepare labor cards for each faculty member. When the faculty labor cards are completed, the letter and labor cards are mailed to the FIPC for settlement.

SF-50 Notification of Personnel Action/ SF-52 Request for Personnel Action.

(Figures 7.33, 7.34, & 7.35)

A Notification of Personnel Action (SF-50) is the official document used to record new employee hires, promotions, grade increases, transfers, resignations, or any action that would change a payroll status. The SF-50 also notes the employees' annual salary for all GS, GM, and faculty; and the hourly wage rate for WG employees.

A Request for Personnel Action (SF-52) is an internal personnel action form submitted by the departments, via the Comptroller, to the Civilian Personnel Office (CPO) to generate an official Standard Form 50.

If an employee experiences a change in employment status, a Standard Form 52 is submitted to the CPO to update official (FIPC) and local employment records. The Payroll and Timekeeping Division check for sufficient line manager funds to accommodate the change in payroll status. The Comptroller initials each SF-52 before it goes to the CPO.

General Information.

Timekeeper Responsibilities.

1. After receipt, review all preprinted Time Cards for accuracy.

2. Ensure all new employees have a Time Card (note: it takes two pay periods to receive a preprinted card for new employees).

3. Do not leave cards in an open area.

4. Record time and attendance on the Time Cards (and Labor Cards when required) for assigned employees. You may have each employee maintain an individual time sheet, then transfer the information to the original Time Card or maintain the original Time Cards on a daily basis, whichever is preferred.

5. Record entries on Time Cards in black ink only.

6. Erroneous entries on Time Cards must be corrected by drawing a red line through the incorrect entry and then writing in the correct entry. Do not obliterate the original entry. Under no circumstances must erasures, white-out, correction tape/fluids be used on this document.

7. Time Cards must be signed only by those individuals authorized to certify Time Cards. Under no circumstance is a facsimile signature stamp permitted.

8. Ensure all entries for pay and leave are recorded correctly.

9. Account for all leave, overtime, and compensation (comp) time, and verify the cards

with the original requests/supporting documents.

10. Clip required supporting documentation to the Time Card and hand carry them to the Timekeeping Division by the required deadline.

11. Serve as a liaison for your departments pay problems; provide a copy of the employee's Time Card and Leave and Earnings Statement (LES) for the pay period in question. Write a brief note describing the problem.

12. If an employee is having problems with any of the items listed below, have the employee go to Civilian Personnel Office (CPO) and obtain a copy of the document pertaining to that item. The employee must bring the document and his/her most recent LES to the Timekeeping Division, where an attempt will be made to rectify the pay problem. The Timekeeping Division does not maintain copies of the forms listed below. The only documents received by the Timekeeping Division from the CPO are the employee's Standard Form 50 - Personnel Action.

    Address Changes
    W-4 Changes
    Direct Deposit Forms
    Life Insurance/Health Insurance Status
    Allotments
    Bonds
    Charity Donations
    Retirement Forms (info)
    Union Dues

    Note: If an employee has not received his/her LES, the department timekeeper must request a duplicate no later than Thursday or Friday (10:00 am) of the pay week. The employees name, ID number, and home address must be provided.

Document Preparation.

The majority of NPS timekeeping and payroll documents are relatively straight forward to complete, with most of the entries being self-explanatory in nature. This section provides examples and guidance for the following documents (Time and Labor Car codes may be found in Appendix H):

Time Card - Required Entries
(Figure 7.1)

Time and Labor Card - Example
(Figure 7.2)

Time Card - New Employee
(Figure 7.3)

Time Card - Separated Employee
(Figure 7.4)

Time Card - Part Time and Intermittent Schedules
(Figure 7.5)

Time Card - Regular and Flextime Schedules
(Figure 7.6)

Time Card - Holiday Leave
(Figure 7.7)

Time Card - Comparison of Regular to Supplemental
(Figure 7.8)

Time Card - Traumatic Injury
(Figure 7.9)

Time Card - Annual Leave
(Figure 7.10)

Time Card - Sick Leave
(Figure 7.11)

Time Card - Advanced Annual Leave and Advanced Sick Leave
(Figure 7.12)

Time Card - Compensatory Time
(Figure 7.13)

Time Card - Military Leave
Standard Form 71 Application for Leave
(Figure 7.14)

Time Card - Court Leave
Standard Form 71 Application for Leave
Court Summons
Certification of Jury Duty
Payment for Jury Duty and Personal Check for Excess Per Diem
(Figures 7.15, 7.16, & 7.17)

Time Card - Leave without Pay (LWOP)
(Figure 7.18)

Time Card - Overtime
(Figure 7.19)

Time Card - Environmental Premium
(Figure 7.20)

Time Card - Holiday Work
(Figure 7.21)

Time Card - Sunday Work
(Figure 7.22)

Time Card - Night Differential
(Figure 7.23)

Time Card - Fire fighters
(Figure 7.24)

NDW-NRFC 12600/1 T&A/Overtime Certification Authorization:
(Figure 7.25)

NAVEXOS 4377 Overtime Request and Authorization:
(Figures 7.26 & 7.27)

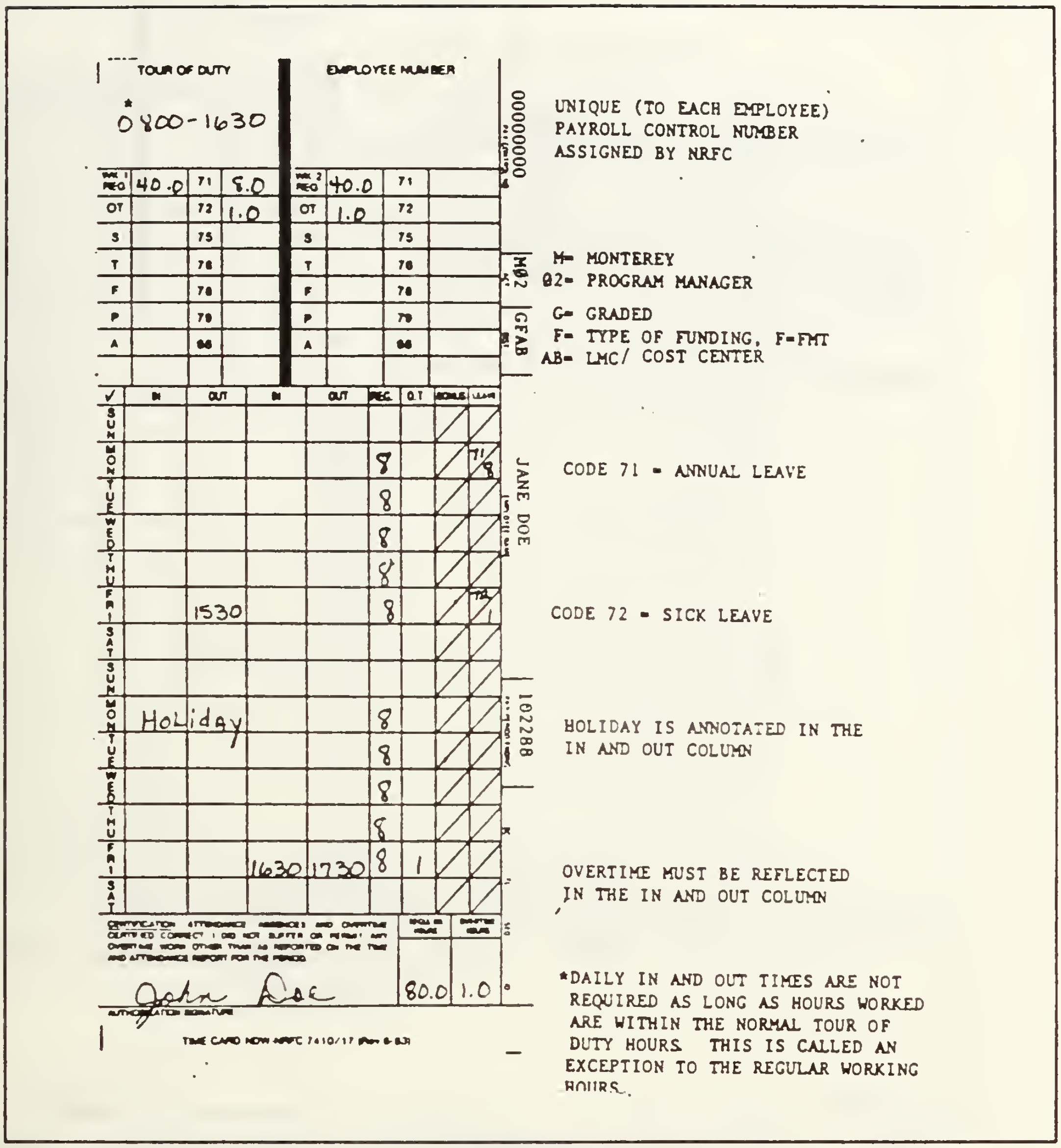
Bi-Weekly Report of Hours Worked
(Figure 7.28)

SF-71 Application for Leave:
(Figures 7.29 & 7.30)

Faculty Employment Certification Memo/
Faculty Employment Certification Letter:
(Figures 7.31 & 7.32)

SF-50 Notification of Personnel Action/
SF-52 Request for Personnel Action:
(Figures 7.33, 7.34, & 7.35)

Note: The NPS Civilian Personnel Office is currently developing a handbook for preparing the SF 52 - Request for Personnel Action. Appendix I, a SF 52 guide prepared for Point Hueneme, should be of some benefit in the interim.



TOUR OF DUTY

*0800-1630

EMPLOYEE NUMBER

WK 1 REG	40.0	71	8.0	WK 2 REG	40.0	71	
OT		72	1.0	OT	1.0	72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		86		A		86	

✓	IN	OUT	IN	OUT	REG.	O.T	[illegible]	[illegible]
SUN								
MON					8			71 8
TUE					8			
WED					8			
THU					8			
FRI		1530			8			72 1
SAT								
SUN								
MON	Holiday				8			
TUE					8			
WED					8			
THU					8			
FRI			1630	1730	8	1		
SAT								

80.0 1.0

John Doe

TIME CARD NOW NRFC 7410/17

000000000

M02

GFAB

JANE DOE

102288

UNIQUE (TO EACH EMPLOYEE)
PAYROLL CONTROL NUMBER
ASSIGNED BY NRFC

M= MONTEREY
02= PROGRAM MANAGER

G= GRADED
F= TYPE OF FUNDING, F=FMT
AB= LMC/ COST CENTER

CODE 71 = ANNUAL LEAVE

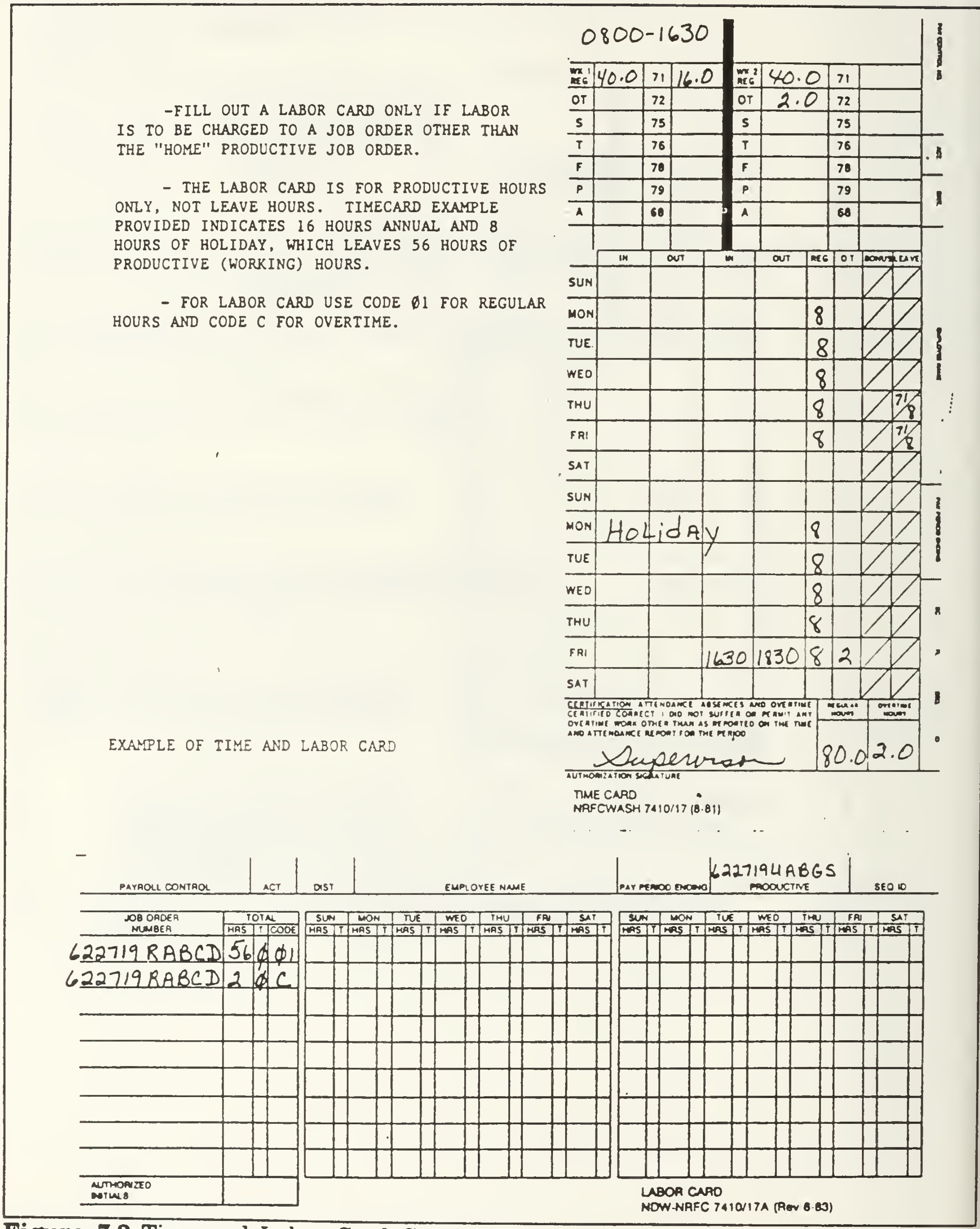
CODE 72 = SICK LEAVE

HOLIDAY IS ANNOTATED IN THE
IN AND OUT COLUMN

OVERTIME MUST BE REFLECTED
IN THE IN AND OUT COLUMN

*DAILY IN AND OUT TIMES ARE NOT
REQUIRED AS LONG AS HOURS WORKED
ARE WITHIN THE NORMAL TOUR OF
DUTY HOURS. THIS IS CALLED AN
EXCEPTION TO THE REGULAR WORKING
HOURS.

Figure 7.1 Time Card: Required Entries



-FILL OUT A LABOR CARD ONLY IF LABOR IS TO BE CHARGED TO A JOB ORDER OTHER THAN THE "HOME" PRODUCTIVE JOB ORDER.

- THE LABOR CARD IS FOR PRODUCTIVE HOURS ONLY, NOT LEAVE HOURS. TIMECARD EXAMPLE PROVIDED INDICATES 16 HOURS ANNUAL AND 8 HOURS OF HOLIDAY, WHICH LEAVES 56 HOURS OF PRODUCTIVE (WORKING) HOURS.

- FOR LABOR CARD USE CODE 01 FOR REGULAR HOURS AND CODE C FOR OVERTIME.

EXAMPLE OF TIME AND LABOR CARD

0800-1630

WK 1 REG	40.0	71	16.0	WK 2 REG	40.0	71	
OT		72		OT	2.0	72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			71/8
FRI					8			71/8
SAT								
SUN								
MON	Holiday				8			
TUE					8			
WED					8			
THU					8			
FRI			1630	1830	8	2		
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	2.0

Supervisor

AUTHORIZATION SIGNATURE

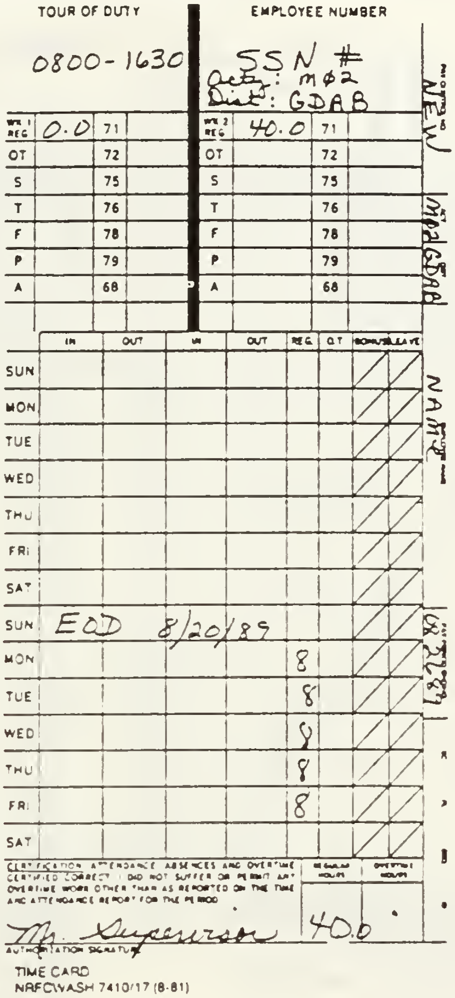
TIME CARD
NRFCWASH 7410/17 (8-81)

PAYROLL CONTROL	ACT	DIST	EMPLOYEE NAME	PAY PERIOD ENDING	PRODUCTIVE	SEQ ID
					622719UABGS	

JOB ORDER NUMBER	TOTAL HRS	TOTAL T	TOTAL CODE	SUN HRS	SUN T	MON HRS	MON T	TUE HRS	TUE T	WED HRS	WED T	THU HRS	THU T	FRI HRS	FRI T	SAT HRS	SAT T	SUN HRS	SUN T	MON HRS	MON T	TUE HRS	TUE T	WED HRS	WED T	THU HRS	THU T	FRI HRS	FRI T	SAT HRS	SAT T
622719RABCD	56	0	01																												
622719RABCD	2	0	C																												
AUTHORIZED INITIALS																															

LABOR CARD
NDW-NRFC 7410/17A (Rev 6-83)

Figure 7.2 Time and Labor Card Comparison



TOUR OF DUTY
0800-1630

EMPLOYEE NUMBER
SSN #
Acty: M02
Dist: GDAB

NEW
M02GDAB
NAME
082089

WK 1 REG	0.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG.	O.T.	BONUS	LEAVE
SUN								
MON								
TUE								
WED								
THU								
FRI								
SAT								
SUN	EOD		8/20/89					
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

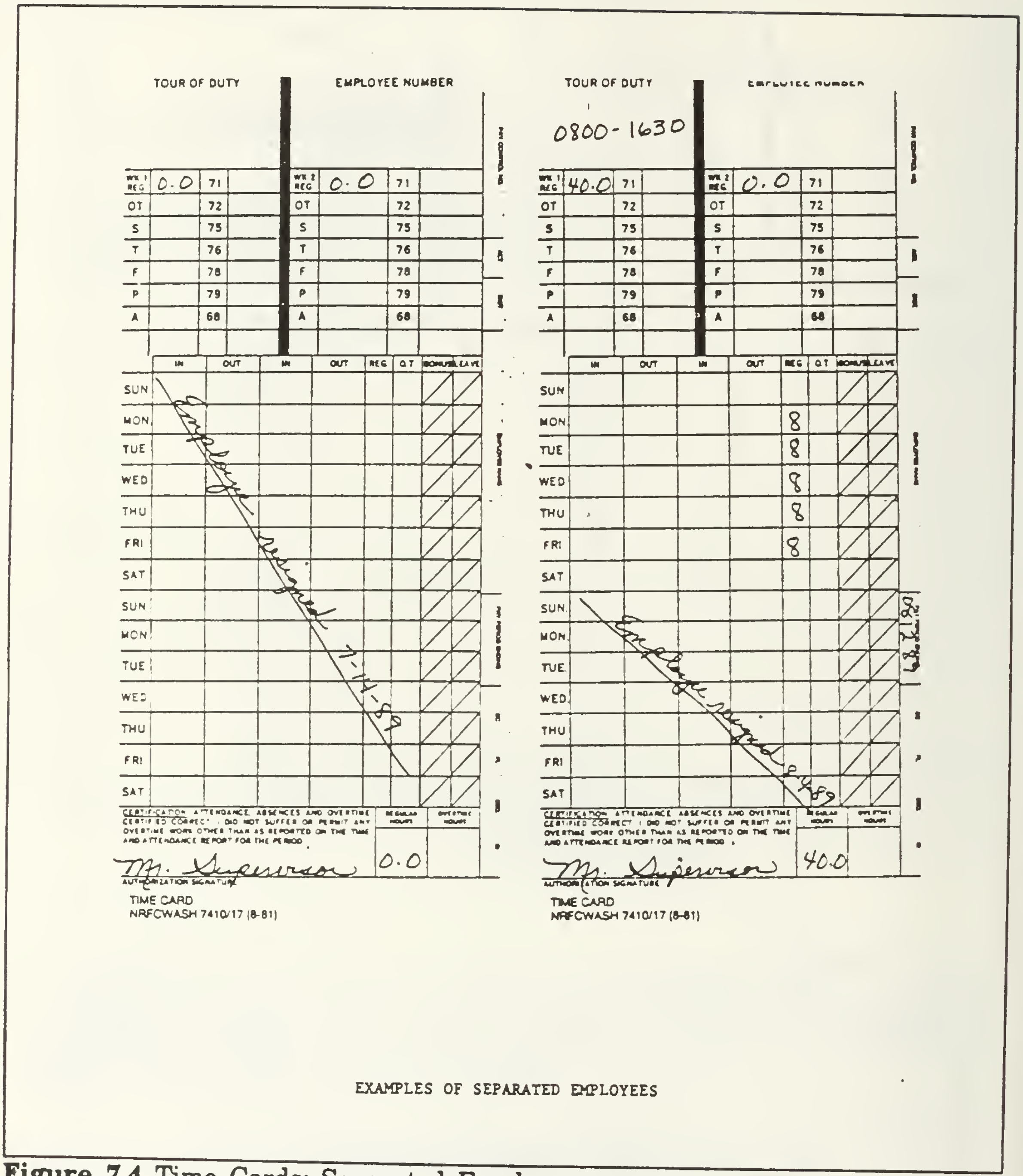
REGULAR HOURS	OVERTIME HOURS
40.0	

Mr. Supervisor
AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLE OF A NEW EMPLOYEE

Figure 7.3 Time Card: New Employee



TOUR OF DUTY	EMPLOYEE NUMBER

WK 1 REG	0.0	71	WK 2 REG	0.0	71
OT		72	OT		72
S		75	S		75
T		76	T		76
F		78	F		78
P		79	P		79
A		68	A		68

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON								
TUE								
WED								
THU								
FRI								
SAT								
SUN								
MON								
TUE								
WED								
THU								
FRI								
SAT								

Employee resigned 7-14-89

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD.

REGULAR HOURS	OVERTIME HOURS
0.0	

M. Supervisor
AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

TOUR OF DUTY	EMPLOYEE NUMBER
0800-1630	

WK 1 REG	40.0	71	WK 2 REG	0.0	71
OT		72	OT		72
S		75	S		75
T		76	T		76
F		78	F		78
P		79	P		79
A		68	A		68

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								
SUN								
MON								
TUE								
WED								
THU								
FRI								
SAT								

Employee resigned 8-4-89

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD.

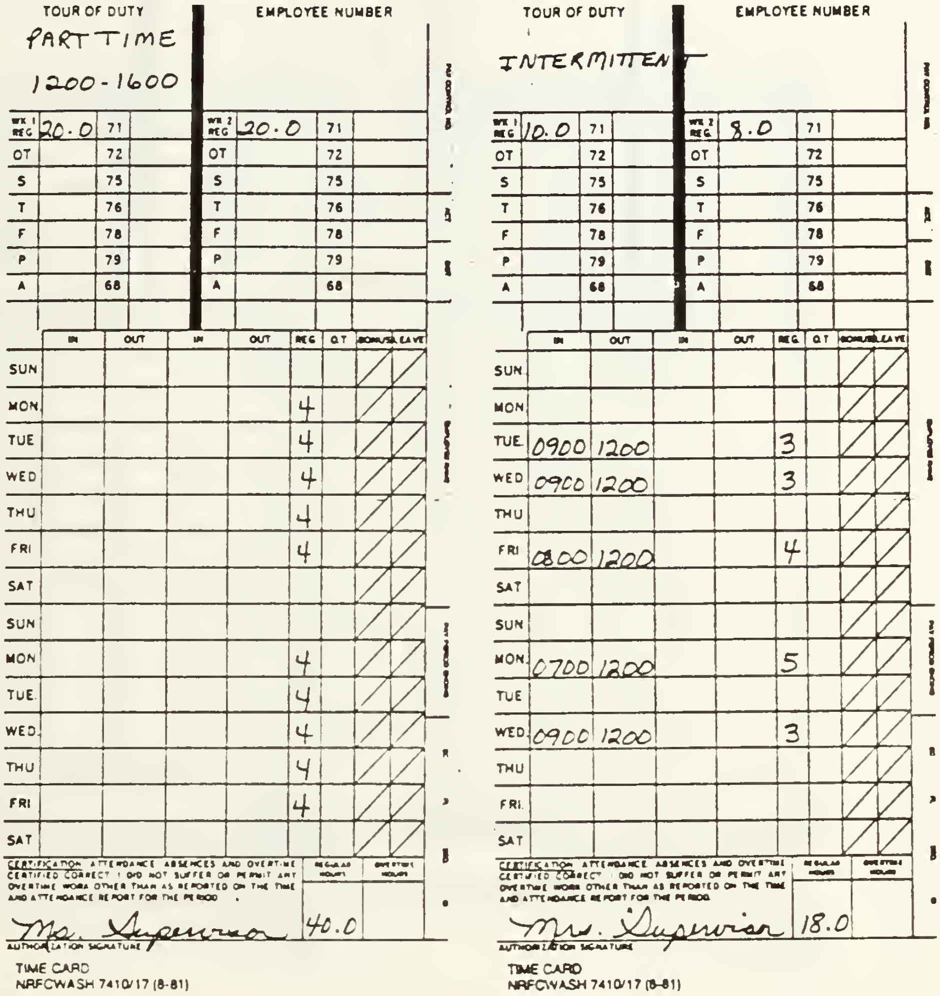
REGULAR HOURS	OVERTIME HOURS
40.0	

M. Supervisor
AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLES OF SEPARATED EMPLOYEES

Figure 7.4 Time Cards: Separated Employees



TOUR OF DUTY: PART TIME 1200-1600

EMPLOYEE NUMBER

WK 1 REG	20.0	71	WK 2 REG	20.0	71
OT		72	OT		72
S		75	S		75
T		76	T		76
F		78	F		78
P		79	P		79
A		68	A		68

	IN	OUT	IN	OUT	REG	O.T	BONUS	LEAVE
SUN								
MON					4			
TUE					4			
WED					4			
THU					4			
FRI					4			
SAT								
SUN								
MON					4			
TUE					4			
WED					4			
THU					4			
FRI					4			
SAT								

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD.

REGULAR HOURS: 40.0

OVERTIME HOURS:

Ms. Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

TOUR OF DUTY: INTERMITTENT

EMPLOYEE NUMBER

WK 1 REG	10.0	71	WK 2 REG	8.0	71
OT		72	OT		72
S		75	S		75
T		76	T		76
F		78	F		78
P		79	P		79
A		68	A		68

	IN	OUT	IN	OUT	REG	O.T	BONUS	LEAVE
SUN								
MON								
TUE	0900	1200			3			
WED	0900	1200			3			
THU								
FRI	0800	1200			4			
SAT								
SUN								
MON	0700	1200			5			
TUE								
WED	0900	1200			3			
THU								
FRI								
SAT								

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD.

REGULAR HOURS: 18.0

OVERTIME HOURS:

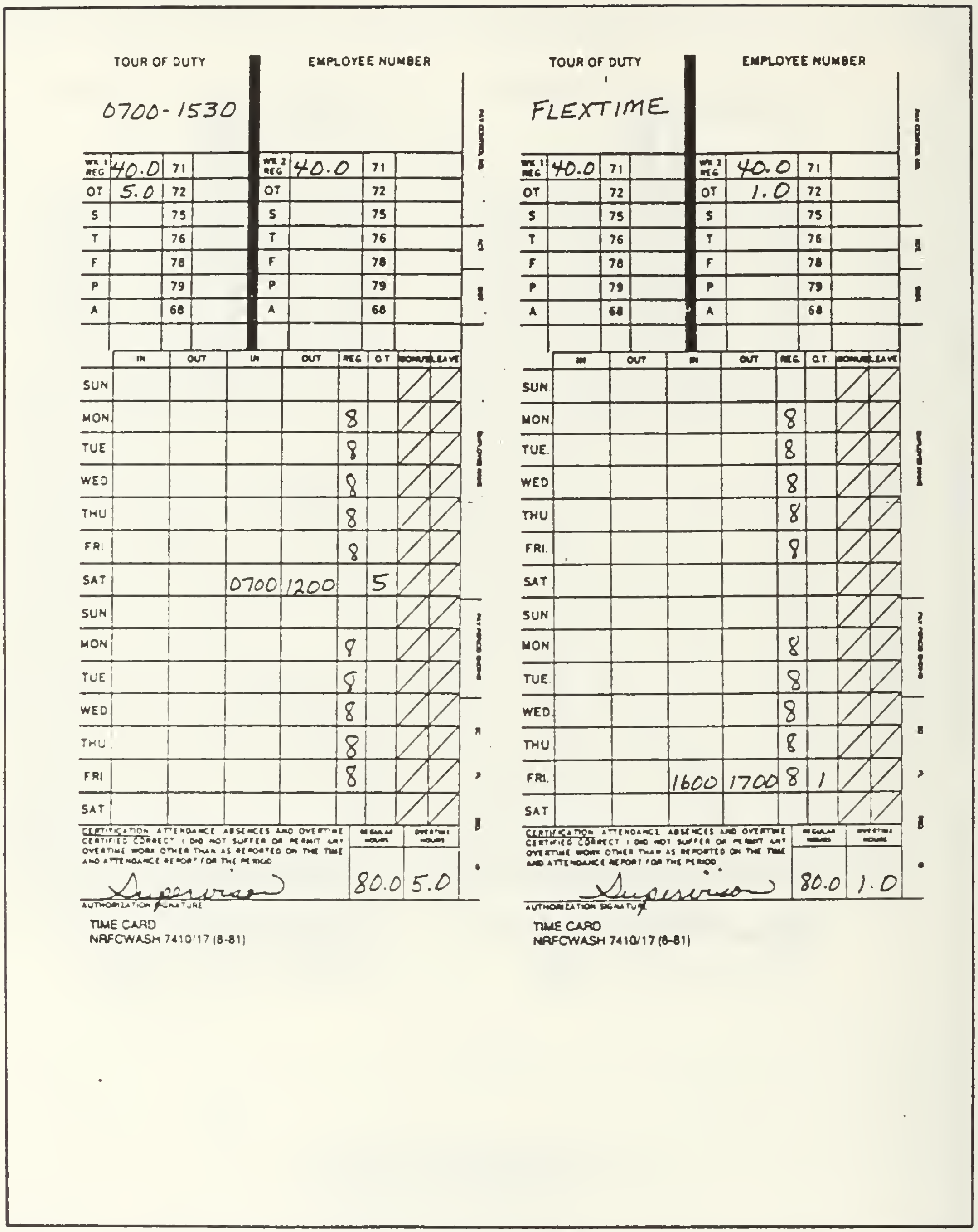
Mrs. Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLES OF PART TIME AND
INTERMITTENT SCHEDULES

Figure 7.5 Time Cards: Part Time and Intermittent Schedules



TOUR OF DUTY	EMPLOYEE NUMBER
0700-1530	

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT	5.0	72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	O.T.	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT			0700	1200		5		
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor	80.0	5.0

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

TOUR OF DUTY	EMPLOYEE NUMBER
FLEXTIME	

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT	1.0	72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

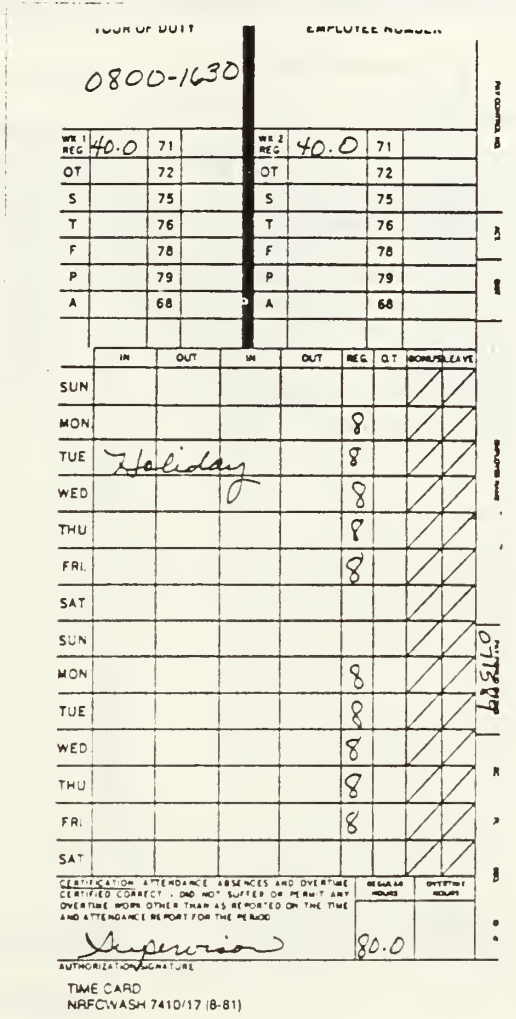
	IN	OUT	IN	OUT	REG	O.T.	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI			1600	1700	8	1		
SAT								

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor	80.0	1.0

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

Figure 7.6 Time Cards: Regular and Flextime Schedules



TOUR OF DUTY: 0800-1630

EMPLOYEE NUMBER:

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG.	O.T	BONUS	LEAVE
SUN								
MON					8			
TUE	Holiday				8			
WED					8			
THU					8			
FRI					8			
SAT								
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								

PAY CONTROL NO.

071589

CERTIFICATION ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	

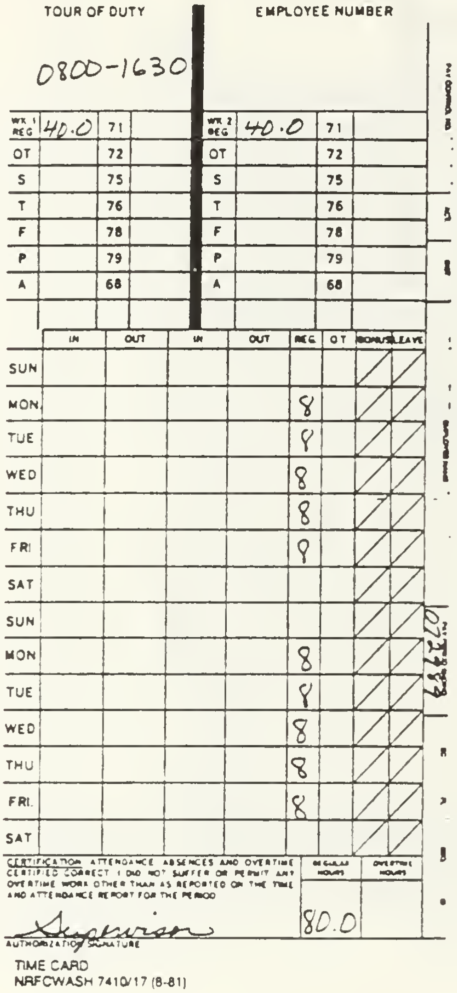
Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLE OF HOLIDAY LEAVE

Figure 7.7 Time Card: Holiday Leave



TOUR OF DUTY

0800-1630

EMPLOYEE NUMBER

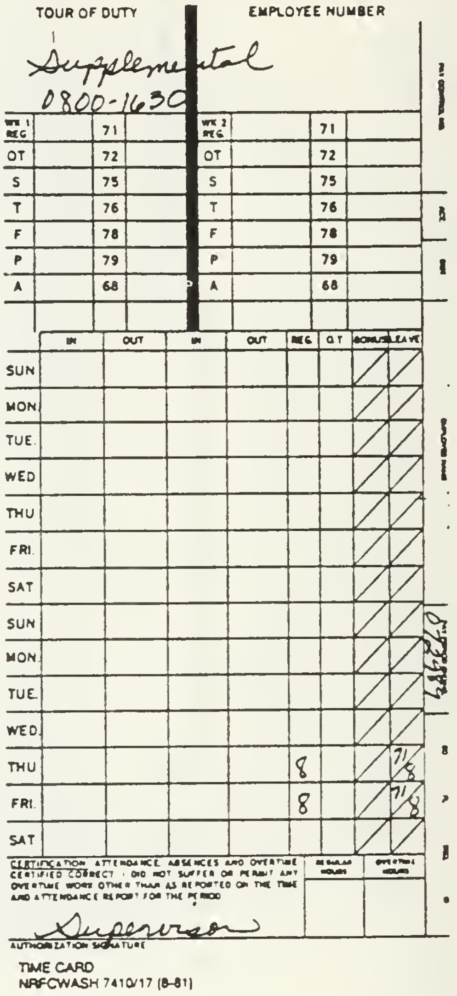
WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI.					8			
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor AUTHORIZATION SIGNATURE	80.0	

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLE OF REGULAR TIMECARD



TOUR OF DUTY

Supplemental
0800-1630

EMPLOYEE NUMBER

WK 1 REG		71		WK 2 REG		71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON								
TUE.								
WED								
THU								
FRI.								
SAT								
SUN								
MON								
TUE.								
WED.								
THU					8			71/8
FRI.					8			71/8
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor AUTHORIZATION SIGNATURE		

TIME CARD
NRFCWASH 7410/17 (8-81)

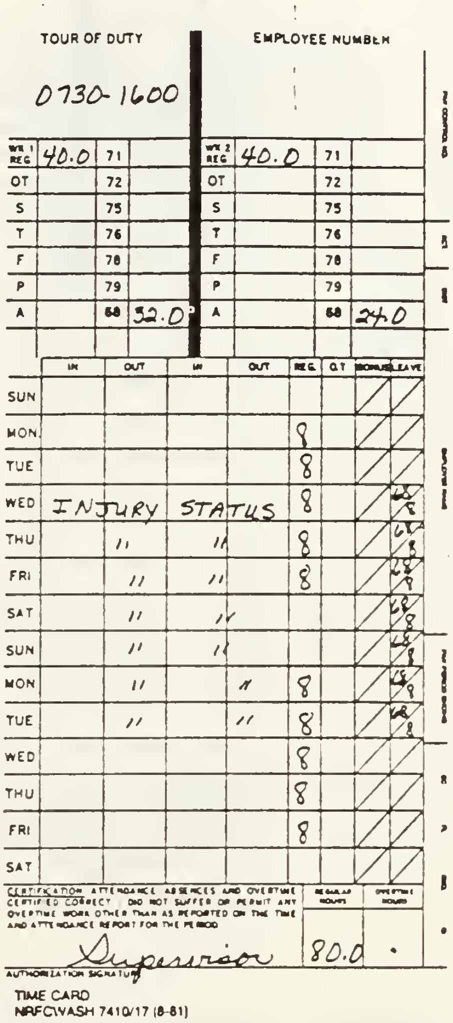
EXAMPLE OF SUPPLEMENTAL TIMECARD

- A SUPPLEMENTAL TIMECARD IS A CORRECTION TO A TIMECARD.

- REFLECT THE PAY PERIOD DATE YOU ARE CORRECTING AND ENTER ONLY THE DAYS IN WHICH REQUIRE CORRECTION.

- SUBMIT ALL SUPPLEMENTAL TIMECARDS NLT 1200 ON THE FIRST MONDAY FOLLOWING THE PAY PERIOD ENDING DATE, EX: PPE 09/09/89 SUBMIT SUPPLEMENTALS ON 09/11/89. TIMEKEEPING MUST TELEFAX ALL SUPPLEMENTALS BY COB ON THAT MONDAY.

Figure 7.8 Time Cards: Regular and Supplemental



TOUR OF DUTY

0730-1600

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68	32.0	A		68	24.0

	IN	OUT	IN	OUT	REG.	O.T	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED	INJURY		STATUS		8			68 8
THU		"	"		8			68 8
FRI		"	"		8			68 8
SAT		"	"					68 8
SUN		"	"					68 8
MON		"		"	8			68 8
TUE		"		"	8			68 8
WED					8			
THU					8			
FRI					8			
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	.

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

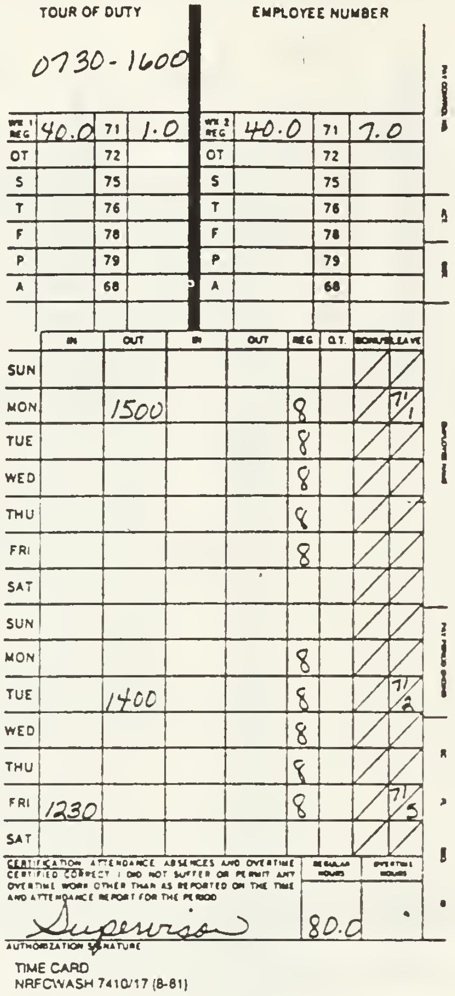
EXAMPLE OF TRAUMATIC INJURY: (INJURY STATUS) TIMECARD CODE IS 68

- TRAUMATIC INJURY IS BASED ON A 45 CALENDAR DAYS ENTITLEMENT PER INJURY. IF SATURDAY AND SUNDAY FALL WITHIN THE PERIOD OF ABSENCE, THEY ARE COUNTED AS PART OF THE 45 CALENDAR DAYS.

- THE DAY OF INJURY IS NOT CHARGED OR CHARGED TO ADMINISTRATIVE LEAVE.

- A COPY OF THE CA-1 FORM (PROCESSED IN CPO) MUST BE SUBMITTED WITH THE FIRST TIMECARD SUBMITTED REPORTING THE INJURY.

Figure 7.9 Time Card: Traumatic Injury



TOUR OF DUTY

0730-1600

EMPLOYEE NUMBER

WK 1 REG	40.0	71	1.0	WK 2 REG	40.0	71	7.0
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	O.T.	BONUS/LEAVE	
SUN								
MON		1500			8			71/1
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								
SUN								
MON					8			
TUE		1400			8			71/2
WED					8			
THU					8			
FRI	1230				8			71/5
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor	80.0	.

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

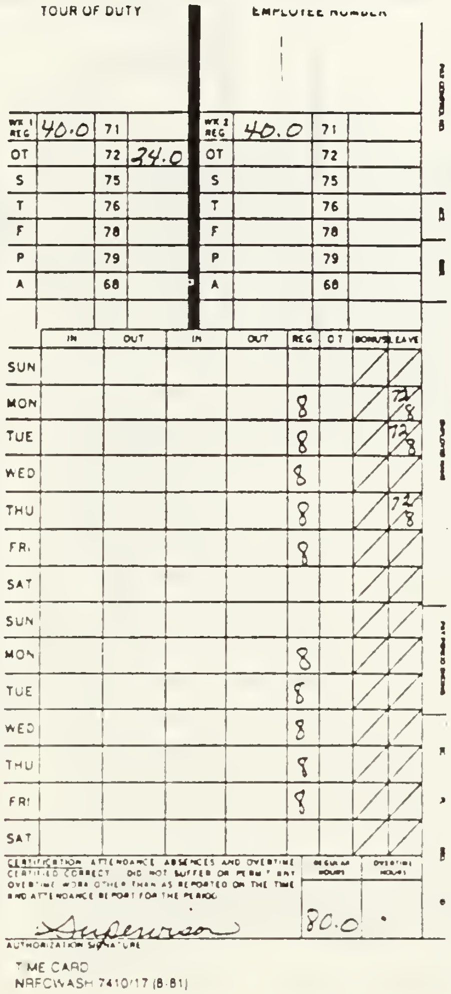
EXAMPLE OF ANNUAL LEAVE: TIMECARD CODE 71

- ANNUAL LEAVE IS TIME OFF AT FULL PAY WHICH IS GRANTED FOR ABSENCES FROM OFFICIAL DUTY OCCURRING WITHIN A REGULAR TOUR OF DUTY.

- ANNUAL LEAVE MUST BE INITIALED BY EMPLOYEE ON THE TIMECARD OR AN APPROVED SF-71 (APPLICATION FOR LEAVE) MUST BE SUBMITTED.

- ANNUAL LEAVE IS CHARGED IN WHOLE HOURS.

Figure 7.10 Time Card: Annual Leave



TOUR OF DUTY

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72	24.0	OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			72/8
TUE					8			72/8
WED					8			
THU					8			72/8
FRI					8			
SAT								
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								

	REGULAR HOURS	OVERTIME HOURS
CERTIFICATION ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	80.0	

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLE OF SICK LEAVE: TIMECARD CODE IS 72

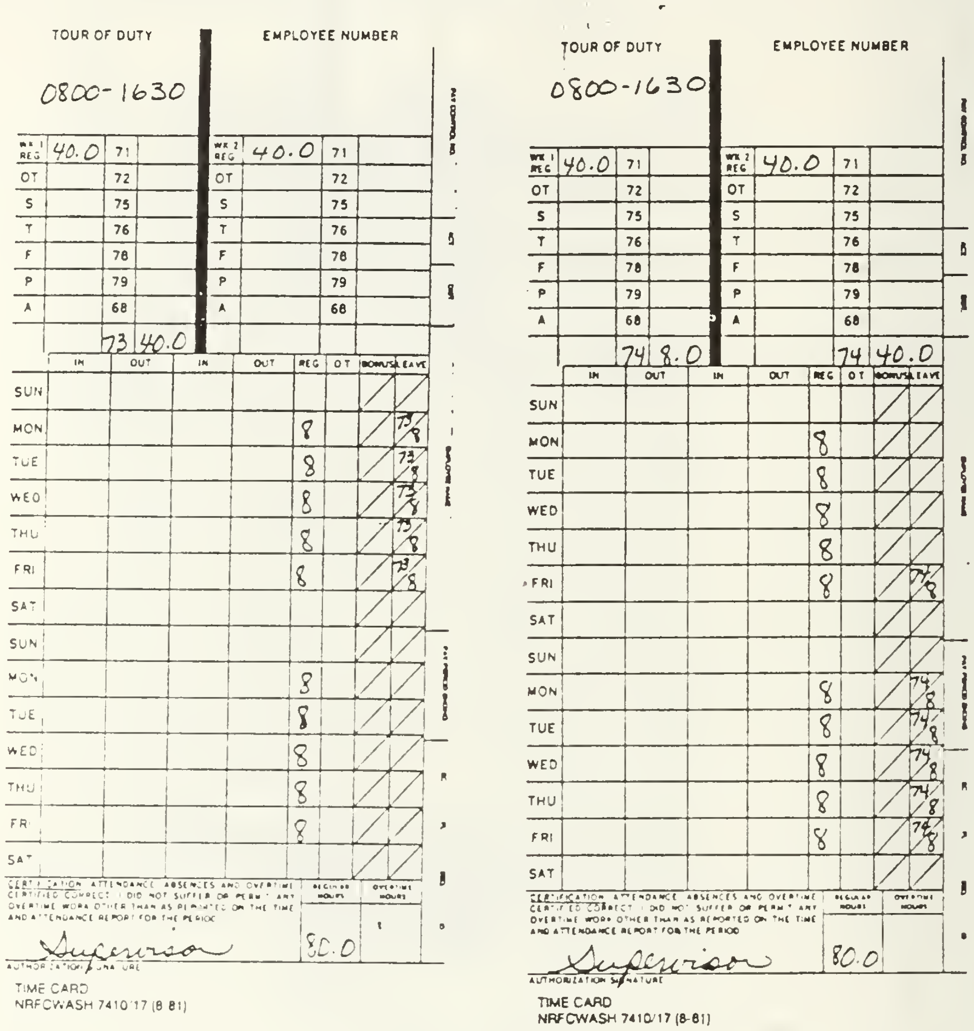
- SICK LEAVE IS TIME OFF AT FULL PAY WHICH IS GRANTED TO EMPLOYEES FOR ABSENCES RELATED TO ILLNESS, INJURY OR MEDICAL CARE.

- SICK LEAVE MUST BE INITIALED BY EMPLOYEE ON THE TIMECARD OR AN APPROVED SF-71 (APPLICATION FOR LEAVE) MUST BE SUBMITTED.

- A LEAVE SLIP MUST ALWAYS BE SUBMITTED FOR SICK LEAVE IN EXCESS OF THREE CONSECUTIVE DAYS, ALONG WITH A DOCTOR'S NOTE.

- SICK LEAVE IS CHARGED IN WHOLE HOURS.

Figure 7.11 Time Card: Sick Leave



TOUR OF DUTY

0800-1630

EMPLOYEE NUMBER

WK 1 REG	40.0	71	WK 2 REG	40.0	71	
OT		72	OT		72	
S		75	S		75	
T		76	T		76	
F		78	F		78	
P		79	P		79	
A		68	A		68	
		73	40.0			

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			73 8
TUE					8			73 8
WED					8			73 8
THU					8			73 8
FRI					8			73 8
SAT								
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor AUTHORIZATION SIGNATURE	80.0	

TIME CARD
NRFCWASH 7410/17 (8-81)

TOUR OF DUTY

0800-1630

EMPLOYEE NUMBER

WK 1 REG	40.0	71	WK 2 REG	40.0	71	
OT		72	OT		72	
S		75	S		75	
T		76	T		76	
F		78	F		78	
P		79	P		79	
A		68	A		68	
		74	8.0		74	40.0

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			74 8
SAT								
SUN								
MON					8			74 8
TUE					8			74 8
WED					8			74 8
THU					8			74 8
FRI					8			74 8
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor AUTHORIZATION SIGNATURE	80.0	

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLE OF ADVANCED ANNUAL LEAVE: TIMECARD CODE 73

EXAMPLE OF ADVANCED SICK LEAVE: CODE 74

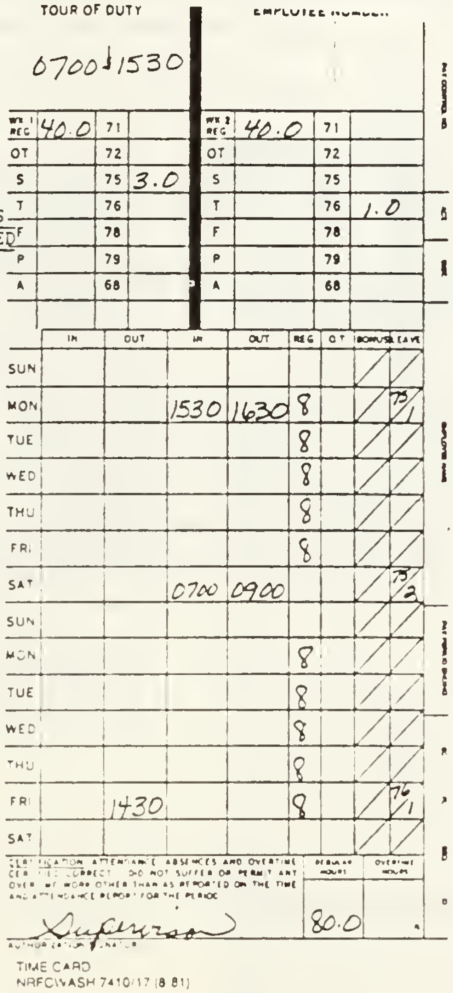
- AN APPROVED SF-71 (APPLICATION FOR LEAVE) AND APPROVED MEMORANDUM (AND DOCTOR'S NOTE, IF REQUESTING ADVANCED SICK LEAVE) MUST BE SUBMITTED WITH TIMECARD.

- FOR ADVANCED ANNUAL AND ADVANCED SICK LEAVE, SEE/CALL JACKIE RHODES, LABOR AND EMPLOYEE RELATIONS, CPO, X3055, FOR INSTRUCTIONS/GUIDELINES PERTAINING TO THE AUTHORIZING OFFICIALS AND MEMORANDUM FORMAT.

- ADVANCED ANNUAL/ADVANCED SICK LEAVE MUST BE APPROVED PRIOR TO TIMECARD SUBMISSION.

Figure 7.12 Time Cards: Advanced Annual & Advanced Sick Leave

UNOFFICIAL COMP TIME IS A VIOLATION OF FAIR LABOR STANDARD ACT AND IS PROHIBITED BY LAW, FOR NON-EXEMPT EMPLOYEES ALL COMPT TIME MUST BE DOCUMENTED ON TIMECARDS WHEN EARNED AND TAKEN.



TOUR OF DUTY

0700-1530

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75	3.0	S		75	
T		76		T		76	1.0
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON			1530	1630	8			75/1
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT			0700	0900				75/2
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI		1430			8			76/1
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. DO NOT SUFFER OR PERMIT ANY OVER[illegible] WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFC\WASH 7410/17 (8 81)

COMPENSATORY TIME: TIMECARD CODES 75-EARNED and 76-USED

- COMPENSATORY TIME IS APPROVED ADDITIONAL WORK TIME FOR WHICH NO PAY IS RECEIVED. IT IS CREDITED TO A SPECIAL LEAVE-TYPE ACCOUNT FOR THE EMPLOYEE'S FUTURE USE.

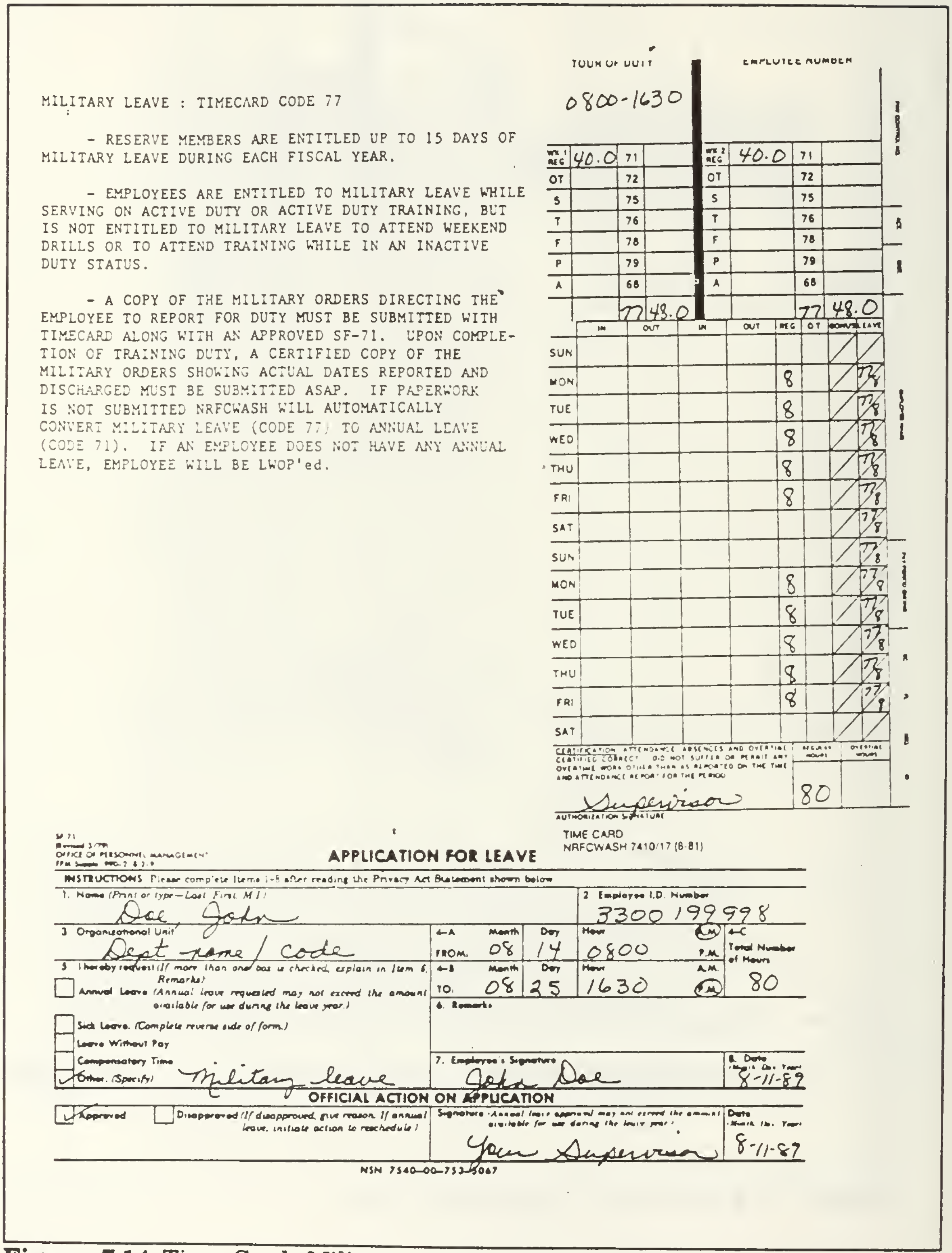
- THE SAME LIMITATIONS WHICH APPLY TO OVERTIME ALSO APPLY TO COMPENSATORY TIME. AN APPROVED OVERTIME/COMPENSATORY TIME AUTHORIZATION FORM (NAVCOMPT 2282) MUST BE SUBMITTED. (EXAMPLE ON PAGE 15).

- THE MAXIMUM AMOUNT OF COMPENSATORY TIME THAT AN EMPLOYEE MAY ACCUMULATE IS 80 HOURS. BALANCES OVER 80 HOURS CONVERT TO OVERTIME WITHIN THE PAYROLL PROCESSING.

- COMPENSATORY TIME USED MUST BE INITIALED BY EMPLOYEE OR AN APPROVED SF-71 MUST BE SUBMITTED.

- COMPENSATORY TIME EARNED AND USED IS CHARGED IN WHOLE HOURS.

Figure 7.13 Time Card: Compensatory Time



MILITARY LEAVE : TIMECARD CODE 77

- RESERVE MEMBERS ARE ENTITLED UP TO 15 DAYS OF MILITARY LEAVE DURING EACH FISCAL YEAR.

- EMPLOYEES ARE ENTITLED TO MILITARY LEAVE WHILE SERVING ON ACTIVE DUTY OR ACTIVE DUTY TRAINING, BUT IS NOT ENTITLED TO MILITARY LEAVE TO ATTEND WEEKEND DRILLS OR TO ATTEND TRAINING WHILE IN AN INACTIVE DUTY STATUS.

- A COPY OF THE MILITARY ORDERS DIRECTING THE EMPLOYEE TO REPORT FOR DUTY MUST BE SUBMITTED WITH TIMECARD ALONG WITH AN APPROVED SF-71. UPON COMPLETION OF TRAINING DUTY, A CERTIFIED COPY OF THE MILITARY ORDERS SHOWING ACTUAL DATES REPORTED AND DISCHARGED MUST BE SUBMITTED ASAP. IF PAPERWORK IS NOT SUBMITTED NRFCWASH WILL AUTOMATICALLY CONVERT MILITARY LEAVE (CODE 77) TO ANNUAL LEAVE (CODE 71). IF AN EMPLOYEE DOES NOT HAVE ANY ANNUAL LEAVE, EMPLOYEE WILL BE LWOP'ed.

TOUR OF DUTY
0800-1630

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	
		77	48.0			77	48.0

	IN	OUT	IN	OUT	REG	OT	[illegible]	LEAVE
SUN								
MON					8			77/8
TUE					8			77/8
WED					8			77/8
THU					8			77/8
FRI					8			77/8
SAT								77/8
SUN								77/8
MON					8			77/8
TUE					8			77/8
WED					8			77/8
THU					8			77/8
FRI					8			77/8
SAT								

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor	80	

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

SF 71
Revised 3/79
OFFICE OF PERSONNEL MANAGEMENT
FPM Supple. 990-2 & 2-9

APPLICATION FOR LEAVE

INSTRUCTIONS Please complete Items 1-8 after reading the Privacy Act Statement shown below

1. Name (Print or type—Last, First, M.I.): Doe, John
2. Employee I.D. Number: 3300 199998
3. Organizational Unit: Dept name / code
4-A FROM: Month 08 Day 14 Hour 0800 [✓ A.M.] P.M.
4-B TO: Month 08 Day 25 Hour 1630 A.M. [✓ P.M.]
4-C Total Number of Hours: 80
5. I hereby request (If more than one box is checked, explain in Item 6, Remarks)

☐ Annual Leave (Annual leave requested may not exceed the amount available for use during the leave year.)
☐ Sick Leave. (Complete reverse side of form.)
☐ Leave Without Pay
☐ Compensatory Time
☑ Other. (Specify) Military leave

6. Remarks
7. Employee's Signature: John Doe
8. Date (Month, Day, Year): 8-11-89

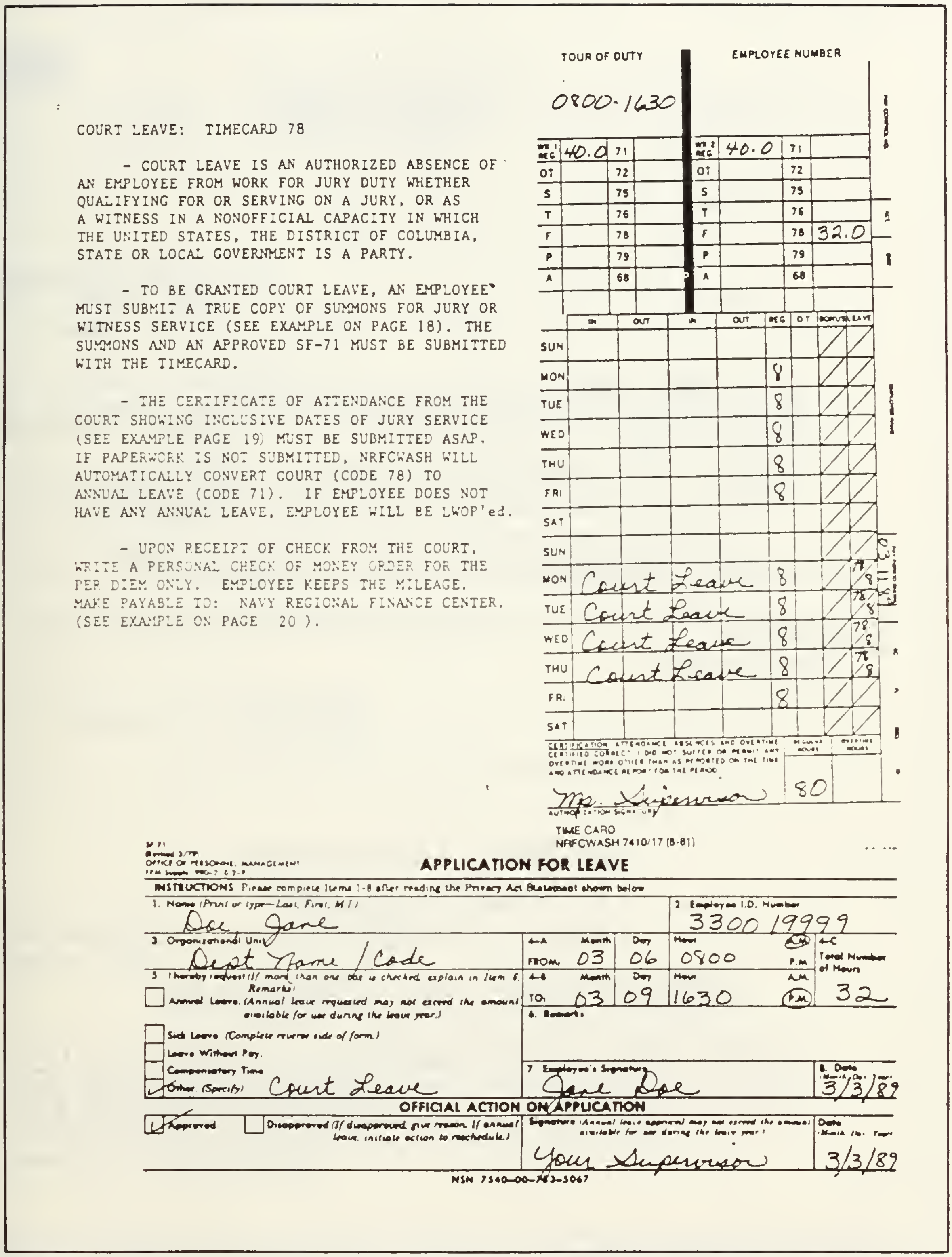
OFFICIAL ACTION ON APPLICATION

☑ Approved
☐ Disapproved (If disapproved, give reason. If annual leave, initiate action to reschedule.)

Signature (Annual leave approval may not exceed the amount available for use during the leave year.): Your Supervisor
Date (Month, Day, Year): 8-11-89

NSN 7540-00-753-5067

Figure 7.14 Time Card: Military Leave, SF 71: Application for Leave



COURT LEAVE: TIMECARD 78

- COURT LEAVE IS AN AUTHORIZED ABSENCE OF AN EMPLOYEE FROM WORK FOR JURY DUTY WHETHER QUALIFYING FOR OR SERVING ON A JURY, OR AS A WITNESS IN A NONOFFICIAL CAPACITY IN WHICH THE UNITED STATES, THE DISTRICT OF COLUMBIA, STATE OR LOCAL GOVERNMENT IS A PARTY.

- TO BE GRANTED COURT LEAVE, AN EMPLOYEE MUST SUBMIT A TRUE COPY OF SUMMONS FOR JURY OR WITNESS SERVICE (SEE EXAMPLE ON PAGE 18). THE SUMMONS AND AN APPROVED SF-71 MUST BE SUBMITTED WITH THE TIMECARD.

- THE CERTIFICATE OF ATTENDANCE FROM THE COURT SHOWING INCLUSIVE DATES OF JURY SERVICE (SEE EXAMPLE PAGE 19) MUST BE SUBMITTED ASAP. IF PAPERWORK IS NOT SUBMITTED, NRFCWASH WILL AUTOMATICALLY CONVERT COURT (CODE 78) TO ANNUAL LEAVE (CODE 71). IF EMPLOYEE DOES NOT HAVE ANY ANNUAL LEAVE, EMPLOYEE WILL BE LWOP'ed.

- UPON RECEIPT OF CHECK FROM THE COURT, WRITE A PERSONAL CHECK OR MONEY ORDER FOR THE PER DIEM ONLY. EMPLOYEE KEEPS THE MILEAGE. MAKE PAYABLE TO: NAVY REGIONAL FINANCE CENTER. (SEE EXAMPLE ON PAGE 20).

TOUR OF DUTY: 0800-1630

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	32.0
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								
SUN								
MON	Court Leave				8			78 / 8
TUE	Court Leave				8			78 / 8
WED	Court Leave				8			78 / 8
THU	Court Leave				8			78 / 8
FRI					8			
SAT								

03 11 8[illegible]

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Ms. Supervisor AUTHORIZATION SIGNATURE	80	

TIME CARD
NRFCWASH 7410/17 (8-81)

SF 71
Revised [illegible]
OFFICE OF PERSONNEL MANAGEMENT
FPM Supp. 990-2 [illegible]

APPLICATION FOR LEAVE

INSTRUCTIONS Please complete Items 1-8 after reading the Privacy Act Statement shown below

1. Name (Print or type—Last, First, M.I.) Doe, Jane

2. Employee I.D. Number 3300 19999

3. Organizational Unit Dept Name / Code

4-A FROM: Month 03 Day 06 Hour 0800 [✓ A.M.] P.M.

4-B TO: Month 03 Day 09 Hour 1630 A.M. [✓ P.M.]

4-C Total Number of Hours 32

5. I hereby request (If more than one box is checked, explain in Item 6, Remarks)

☐ Annual Leave. (Annual leave requested may not exceed the amount available for use during the leave year.)
☐ Sick Leave (Complete reverse side of form.)
☐ Leave Without Pay.
☐ Compensatory Time
☑ Other. (Specify) Court Leave

6. Remarks

7. Employee's Signature Jane Doe

8. Date (Month, Day, Year) 3/3/89

OFFICIAL ACTION ON APPLICATION

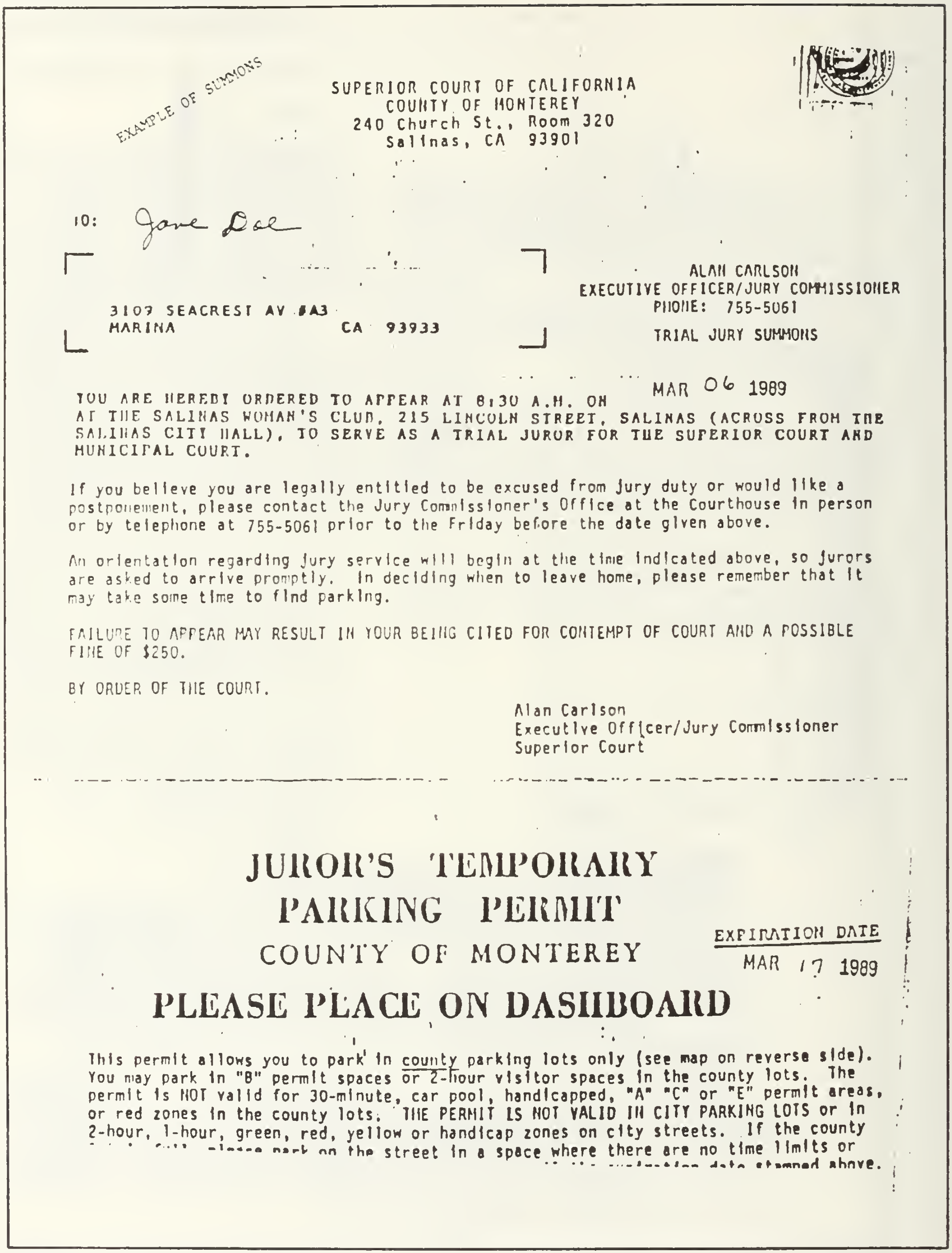
☑ Approved
☐ Disapproved (If disapproved, give reason. If annual leave, initiate action to reschedule.)

Signature (Annual leave approval may not exceed the amount available for use during the leave year.) Your Supervisor

Date (Month, Day, Year) 3/3/89

NSN 7540—00—753—5067

Figure 7.15 Time Card: Court Leave, SF 71: Application for Leave



EXAMPLE OF SUMMONS

SUPERIOR COURT OF CALIFORNIA
COUNTY OF MONTEREY
240 Church St., Room 320
Salinas, CA 93901

TO: Jane Doe

3107 SEACREST AV #A3
MARINA CA 93933

ALAN CARLSON
EXECUTIVE OFFICER/JURY COMMISSIONER
PHONE: 755-5061

TRIAL JURY SUMMONS

MAR 06 1989

YOU ARE HEREBY ORDERED TO APPEAR AT 8:30 A.M. ON
AT THE SALINAS WOMAN'S CLUB, 215 LINCOLN STREET, SALINAS (ACROSS FROM THE SALINAS CITY HALL), TO SERVE AS A TRIAL JUROR FOR THE SUPERIOR COURT AND MUNICIPAL COURT.

If you believe you are legally entitled to be excused from jury duty or would like a postponement, please contact the Jury Commissioner's Office at the Courthouse in person or by telephone at 755-5061 prior to the Friday before the date given above.

An orientation regarding jury service will begin at the time indicated above, so jurors are asked to arrive promptly. In deciding when to leave home, please remember that it may take some time to find parking.

FAILURE TO APPEAR MAY RESULT IN YOUR BEING CITED FOR CONTEMPT OF COURT AND A POSSIBLE FINE OF $250.

BY ORDER OF THE COURT.

Alan Carlson
Executive Officer/Jury Commissioner
Superior Court

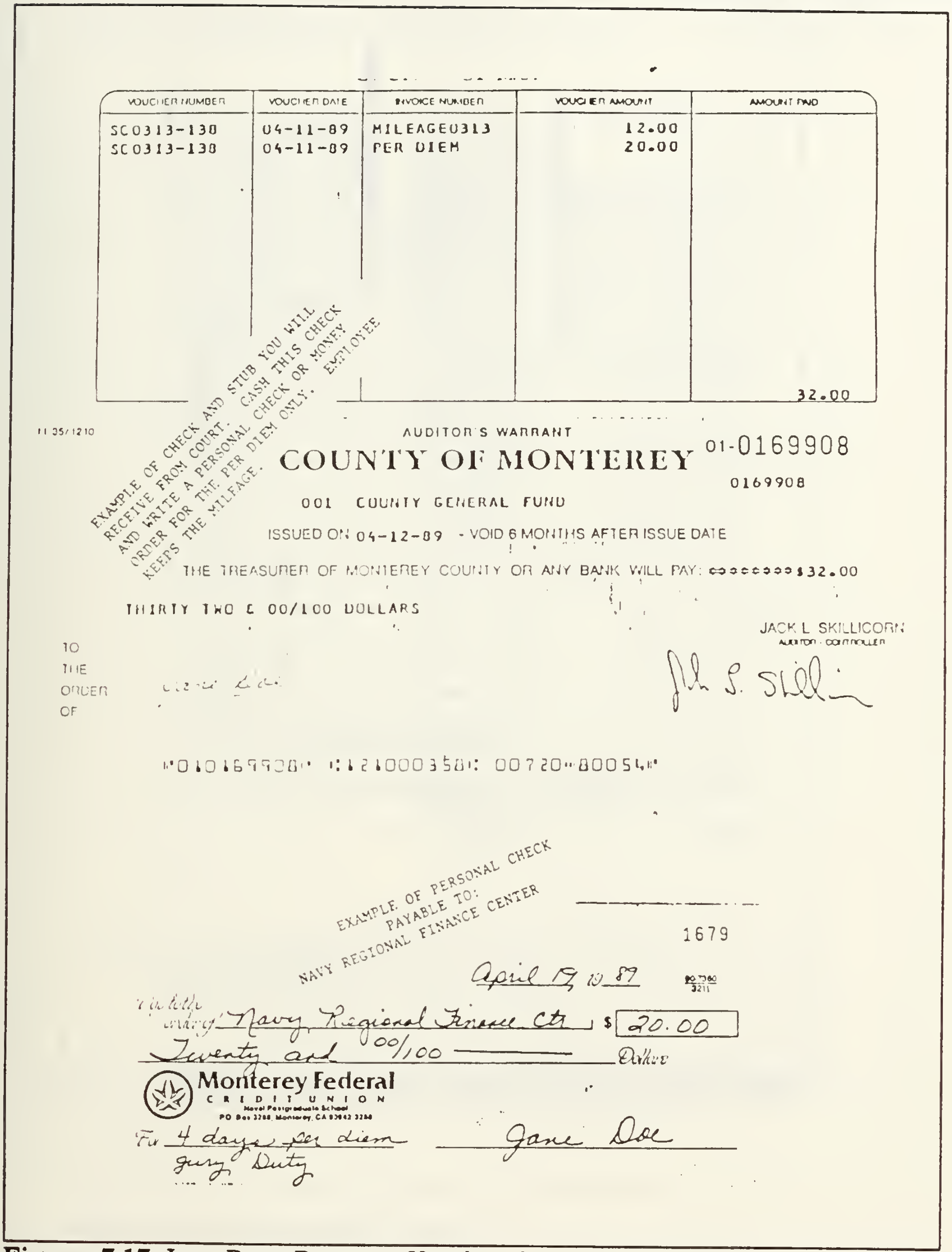
JUROR'S TEMPORARY
PARKING PERMIT
COUNTY OF MONTEREY

EXPIRATION DATE
MAR 17 1989

PLEASE PLACE ON DASHBOARD

This permit allows you to park in county parking lots only (see map on reverse side). You may park in "B" permit spaces or 2-hour visitor spaces in the county lots. The permit is NOT valid for 30-minute, car pool, handicapped, "A" "C" or "E" permit areas, or red zones in the county lots. THE PERMIT IS NOT VALID IN CITY PARKING LOTS or in 2-hour, 1-hour, green, red, yellow or handicap zones on city streets. If the county lots are full, please park on the street in a space where there are no time limits or until the expiration date stamped above.

Figure 7.16 Court Summons



VOUCHER NUMBER	VOUCHER DATE	INVOICE NUMBER	VOUCHER AMOUNT	AMOUNT PAID
SC0313-130	04-11-89	MILEAGE0313	12.00	
SC0313-130	04-11-89	PER DIEM	20.00	
				32.00

EXAMPLE OF CHECK AND STUB YOU WILL RECEIVE FROM COURT. CASH THIS CHECK AND WRITE A PERSONAL CHECK OR MONEY ORDER FOR THE PER DIEM ONLY. EMPLOYEE KEEPS THE MILEAGE.

11 35/1210

AUDITOR'S WARRANT

COUNTY OF MONTEREY 01-0169908

0169908

001 COUNTY GENERAL FUND

ISSUED ON 04-12-89 - VOID 6 MONTHS AFTER ISSUE DATE

THE TREASURER OF MONTEREY COUNTY OR ANY BANK WILL PAY: ⇔⇔⇔⇔⇔⇔⇔$32.00

THIRTY TWO & 00/100 DOLLARS

TO THE ORDER OF

JACK L. SKILLICORN
AUDITOR - CONTROLLER

⑈010169908⑈ ⑆121000358⑆ 00720⑈80054⑈

EXAMPLE OF PERSONAL CHECK PAYABLE TO: NAVY REGIONAL FINANCE CENTER

1679

April 19 19 89

90-7360
3211

Pay to the order of Navy Regional Finance Ctr $ 20.00

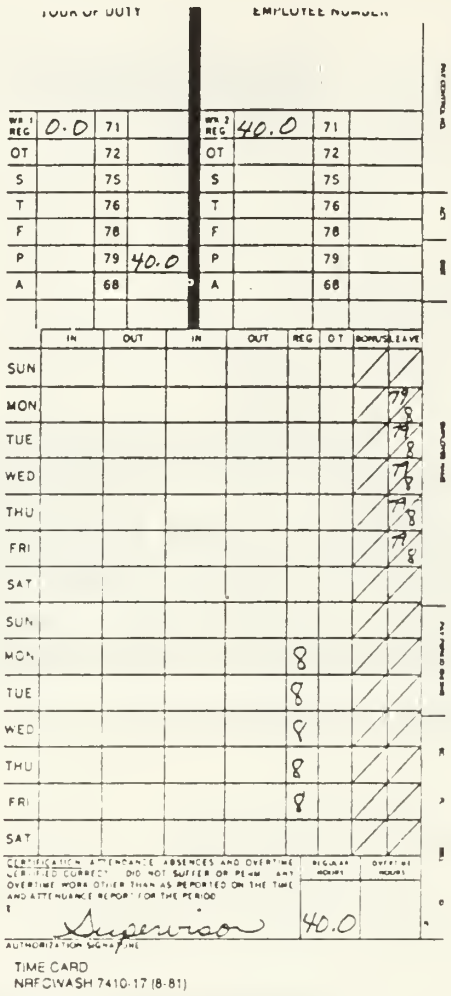
Twenty and 00/100 Dollars

Monterey Federal
CREDIT UNION
Naval Postgraduate School
PO Box 3288, Monterey, CA 93942 3288

For 4 days per diem jury Duty

Jane Doe

Figure 7.17 Jury Duty Payment Voucher & Per Diem Reimbursement Check



TOUR OF DUTY

EMPLOYEE NUMBER

WK 1 REG	0.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79	40.0	P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON								79 8
TUE								79 8
WED								79 8
THU								79 8
FRI								79 8
SAT								
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT								

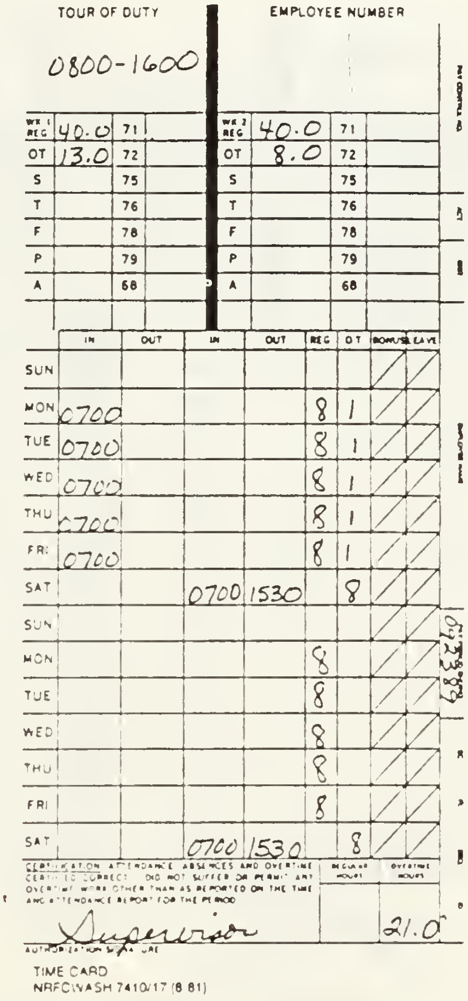
CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor AUTHORIZATION SIGNATURE	40.0	

TIME CARD
NRFCWASH 7410-17 (8-81)

EXAMPLE OF APPROVED LWOP: TIMECARD CODE 79

- LEAVE WITHOUT PAY MUST BE INITIALED BY EMPLOYEE ON THE TIMECARD OR AN APPROVED SF-71 (APPLICATION FOR LEAVE) MUST BE SUBMITTED.

Figure 7.18 Time Card: Leave Without Pay (LWOP)



TOUR OF DUTY: 0800-1600

EMPLOYEE NUMBER:

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT	13.0	72		OT	8.0	72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON	0700				8	1		
TUE	0700				8	1		
WED	0700				8	1		
THU	0700				8	1		
FRI	0700				8	1		
SAT			0700	1530		8		
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT			0700	1530		8		

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
	21.0

Supervisor

AUTHORIZATION SIGNATURE

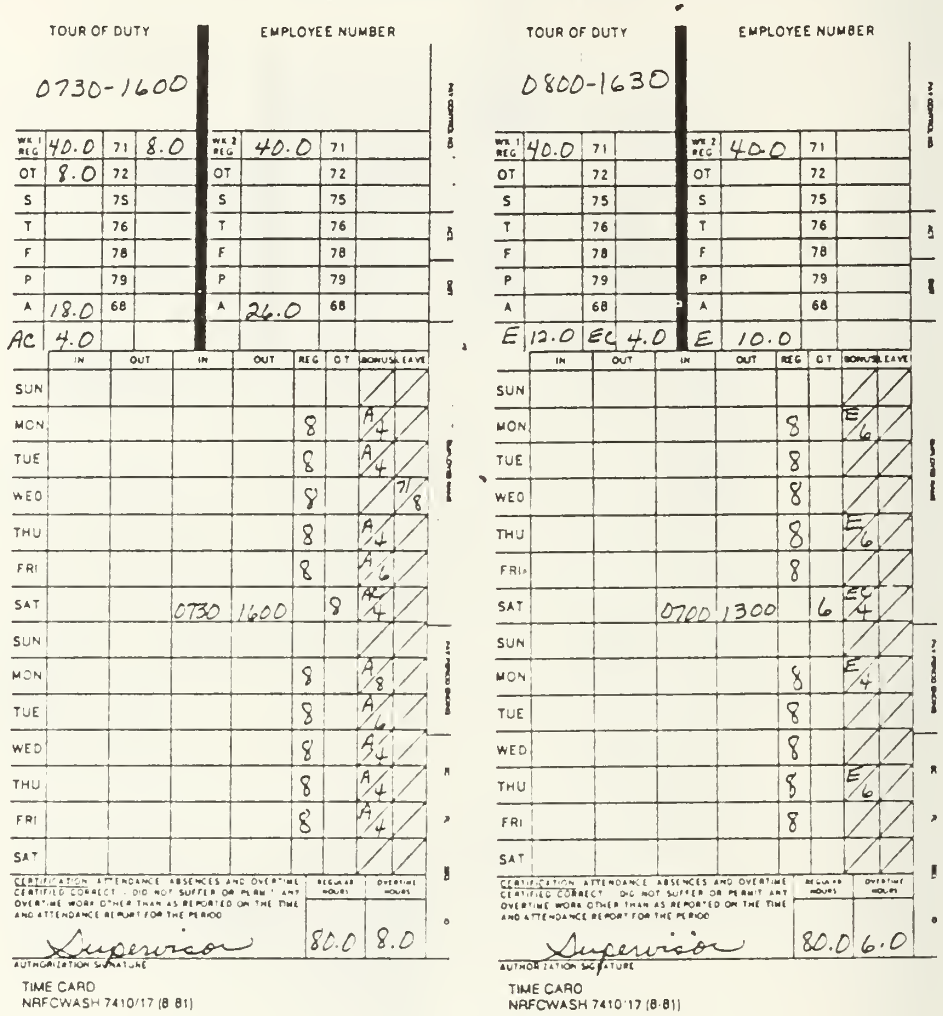
TIME CARD
NRFCWASH 7410/17 (8 81)

EXAMPLE OF OVERTIME

- OVERTIME MUST BE APPROVED IN ADVANCE. IT MUST FIRST BE APPROVED BY YOUR DEPARTMENT HEAD/CHAIRMAN, AND THEN YOUR DEAN OR DIRECTOR (PAYROLL MGR/LINE MGR) WHO IS THE APPROVING AUTHORITY.

- OVERTIME AUTHORIZATION FORM (NAVCOMPT-2282) MUST BE SUBMITTED WITH THE TIMECARD. IT MUST STATE THE SAME DATES AND HOURS AS REFLECTED ON THE TIMECARD. YOU MUST STATE A JUSTIFICATION AND THE JOB ORDER IN WHICH YOU ARE CHARGING. IT MUST HAVE THE APPROVING AUTHORITIES SIGNATURES.

Figure 7.19 Time Card: Overtime



TOUR OF DUTY: 0730-1600

EMPLOYEE NUMBER:

WK 1 REG	40.0	71	8.0	WK 2 REG	40.0	71	
OT	8.0	72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A	18.0	68		A	26.0	68	
AC	4.0						

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8		A 4	
TUE					8		A 4	
WED					8			71 8
THU					8		A 4	
FRI					8		A 6	
SAT			0730	1600		8	AC 4	
SUN								
MON					8		A 8	
TUE					8		A 6	
WED					8		A 4	
THU					8		A 4	
FRI					8		A 4	
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	8.0

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8 81)

TOUR OF DUTY: 0800-1630

EMPLOYEE NUMBER:

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	
E	12.0	EC	4.0	E	10.0		

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8		E 6	
TUE					8			
WED					8			
THU					8		E 6	
FRI					8			
SAT			0700	1300		6	EC 4	
SUN								
MON					8		E 4	
TUE					8			
WED					8			
THU					8		E 6	
FRI					8			
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	6.0

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8-81)

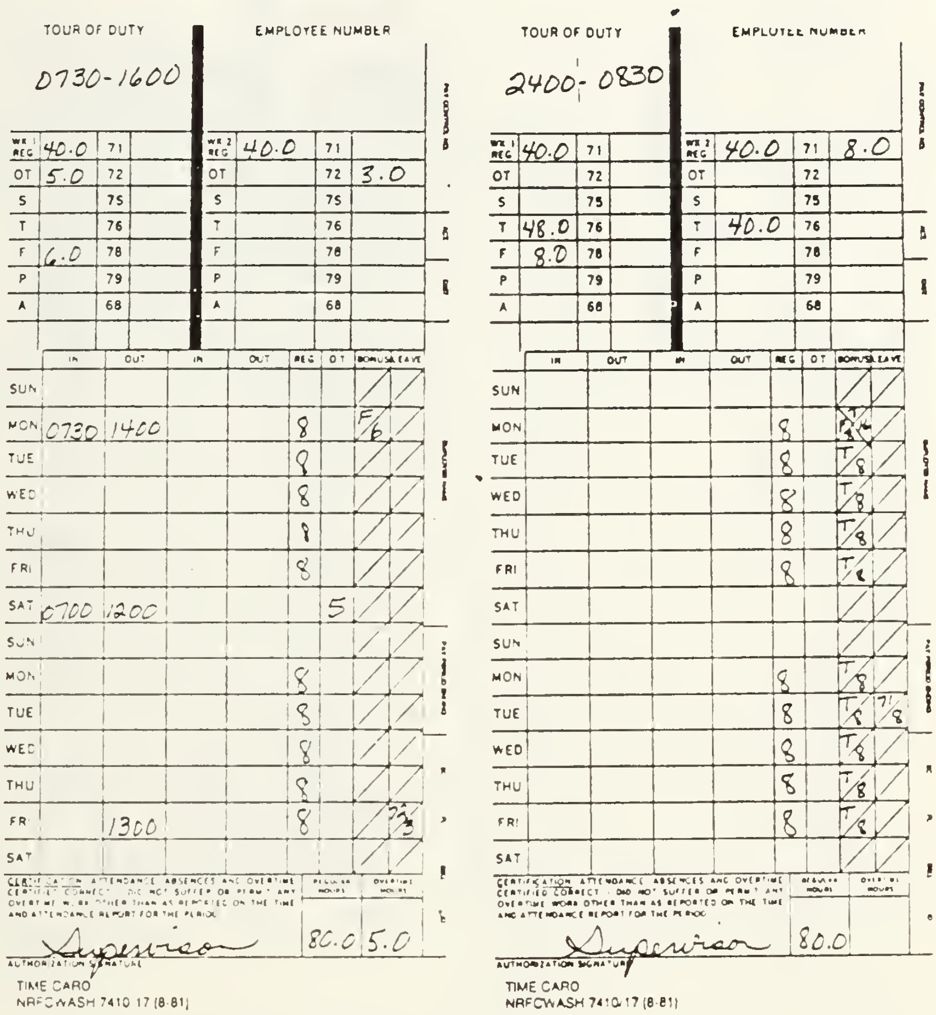
EXAMPLE OF ENVIRONMENTAL PREMIUM CODES : TIMECARD CODE A THRU EC AND K THRU LC

- REVIEW LIST OF APPROPRIATE WORK CODES TO DETERMINE THE CORRECT ENVIRONMENTAL PREMIUM CODE TO BE USED.

- CODE IN THE BONUS COLUMN ON THE TIMECARD. ENTER THE CODE PLUS HOURS.

- SINGLE DIGIT CODES ARE FOR WORK PERFORMED WITHIN THE BASIC WORK WEEK AND DOUBLE DIGIT CODES ARE FOR WORK PERFORMED ON OVERTIME.

Figure 7.20 Time Cards: Environmental Premium Codes



TOUR OF DUTY: 0730-1600

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT	5.0	72		OT		72	3.0
S		75		S		75	
T		76		T		76	
F	6.0	78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON	0730	1400			8		F/6	
TUE					8			
WED					8			
THU					8			
FRI					8			
SAT	0700	1200				5		
SUN								
MON					8			
TUE					8			
WED					8			
THU					8			
FRI		1300			8			72/3
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	5.0

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410 17 (8-81)

TOUR OF DUTY: 2400-0830

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	8.0
OT		72		OT		72	
S		75		S		75	
T	48.0	76		T	40.0	76	
F	8.0	78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8		T F 8 8	
TUE					8		T/8	
WED					8		T/8	
THU					8		T/8	
FRI					8		T/8	
SAT								
SUN								
MON					8		T/8	
TUE					8		T/8	71/8
WED					8		T/8	
THU					8		T/8	
FRI					8		T/8	
SAT								

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

REGULAR HOURS	OVERTIME HOURS
80.0	

Supervisor

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410 17 (8-81)

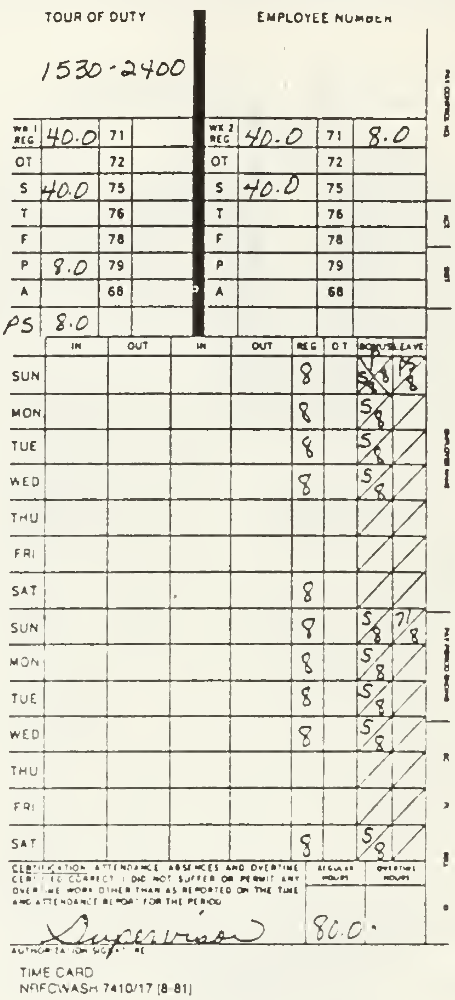
EXAMPLE OF HOLIDAY WORK: TIMECARD CODE F

- WORK CODE F IS NOT USED FOR EMPLOYEES ON HOLIDAY LEAVE.

- AN EMPLOYEE WHO PERFORMS WORK ON A HOLIDAY IS ENTITLED TO PAY AT HIS/HER RATE OF BASIC PAY PLUS PREMIUM PAY AT A RATE EQUAL TO THE RATE OF BASIC PAY FOR THAT HOLIDAY WORK.

- AN EMPLOYEE WHO IS REQUIRED TO PERFORM ANY WORK ON A HOLIDAY DURING HIS/HER REGULAR DUTY HOURS IS ENTITLED TO PAY FOR AT LEAST TWO HOURS OF HOLIDAY WORK.

Figure 7.21 Time Cards: Holiday Work



TOUR OF DUTY

1530-2400

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	8.0
OT		72		OT		72	
S	40.0	75		S	40.0	75	
T		76		T		76	
F		78		F		78	
P	8.0	79		P		79	
A		68		A		68	
PS	8.0						

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN					8		S 8 P 8	PS 8
MON					8		S 8	
TUE					8		S 8	
WED					8		S 8	
THU								
FRI								
SAT					8			
SUN					8		S 8	71 8
MON					8		S 8	
TUE					8		S 8	
WED					8		S 8	
THU								
FRI								
SAT					8		S 8	

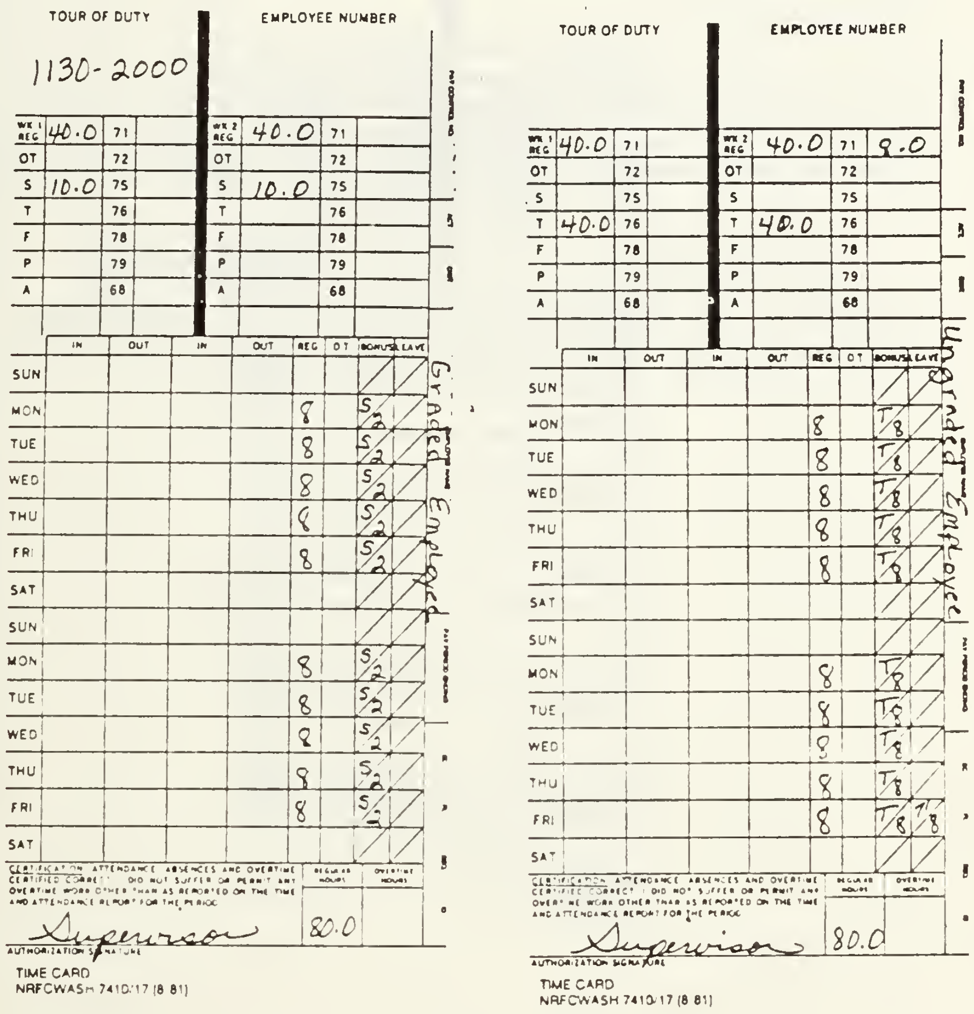
CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor AUTHORIZATION SIGNATURE	80.0	

TIME CARD
NRFCWASH 7410/17 (8-81)

EXAMPLE OF SUNDAY PREMIUM: TIMECARD CODE P AND PA THRU PT

- SUNDAY PREMIUM IS PAID TO EMPLOYEES WHO PERFORM WORK DURING A REGULARLY SCHEDULED TOUR OF DUTY WHICH IS NOT OVERTIME WORK.

Figure 7.22 Time Card: Sunday Premium



TOUR OF DUTY

1130-2000

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	
OT		72		OT		72	
S	10.0	75		S	10.0	75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8		S/2	
TUE					8		S/2	
WED					8		S/2	
THU					8		S/2	
FRI					8		S/2	
SAT								
SUN								
MON					8		S/2	
TUE					8		S/2	
WED					8		S/2	
THU					8		S/2	
FRI					8		S/2	
SAT								

Graded Employed

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor	80.0	

AUTHORIZATION SIGNATURE

TIME CARD
NRFCWASH 7410/17 (8 81)

TOUR OF DUTY

EMPLOYEE NUMBER

WK 1 REG	40.0	71		WK 2 REG	40.0	71	9.0
OT		72		OT		72	
S		75		S		75	
T	40.0	76		T	40.0	76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON					8		T/8	
TUE					8		T/8	
WED					8		T/8	
THU					8		T/8	
FRI					8		T/8	
SAT								
SUN								
MON					8		T/8	
TUE					8		T/8	
WED					8		T/8	
THU					8		T/8	
FRI					8		T/8	7/8
SAT								

Ungraded Employee

CERTIFICATION ATTENDANCE ABSENCES AND OVERTIME CERTIFIED CORRECT. I DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD	REGULAR HOURS	OVERTIME HOURS
Supervisor	80.0	

AUTHORIZATION SIGNATURE

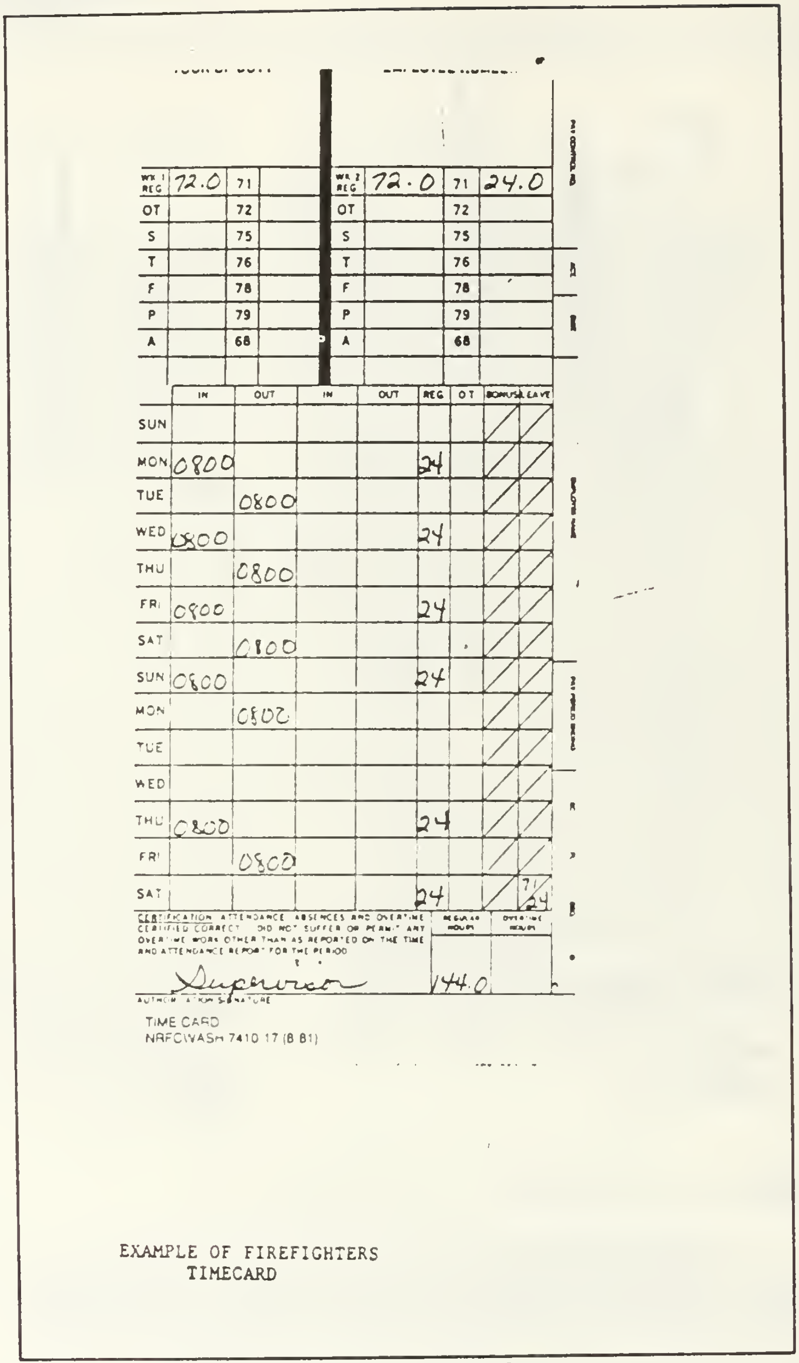
TIME CARD
NRFCWASH 7410/17 (8 81)

EXAMPLE OF NIGHT DIFFERENTIAL: TIMECARD CODES S AND T

- A GRADED EMPLOYEE IS ENTITLED TO NIGHT SHIFT DIFFERENTIAL PAY FOR NIGHT WORK AT HIS/HER RATE OF BASIC PAY PLUS PREMIUM PAY FOR THAT PART OF THE WORKDAY WHICH IS REGULARLY SCHEDULED WORK BETWEEN THE HOURS OF 1800 AND 0600.

- NIGHT PAY DIFFERENTIAL WILL BE PAID TO A WAGE EMPLOYEE FOR ALL REGULARLY SCHEDULED WORK THAT A MAJORITY OF HOURS OCCUR BETWEEN 1500 and 2400 or 2300 and 0800.

Figure 7.23 Time Cards: Night Differential



WK 1 REG	72.0	71		WK 2 REG	72.0	71	24.0
OT		72		OT		72	
S		75		S		75	
T		76		T		76	
F		78		F		78	
P		79		P		79	
A		68		A		68	

	IN	OUT	IN	OUT	REG	OT	BONUS	LEAVE
SUN								
MON	0800				24			
TUE		0800						
WED	0800				24			
THU		0800						
FRI	0800				24			
SAT		0800						
SUN	0800				24			
MON		0800						
TUE								
WED								
THU	0800				24			
FRI		0800						
SAT					24			71/24

CERTIFICATION: ATTENDANCE, ABSENCES AND OVERTIME CERTIFIED CORRECT. DID NOT SUFFER OR PERMIT ANY OVERTIME WORK OTHER THAN AS REPORTED ON THE TIME AND ATTENDANCE REPORT FOR THE PERIOD

Supervisor

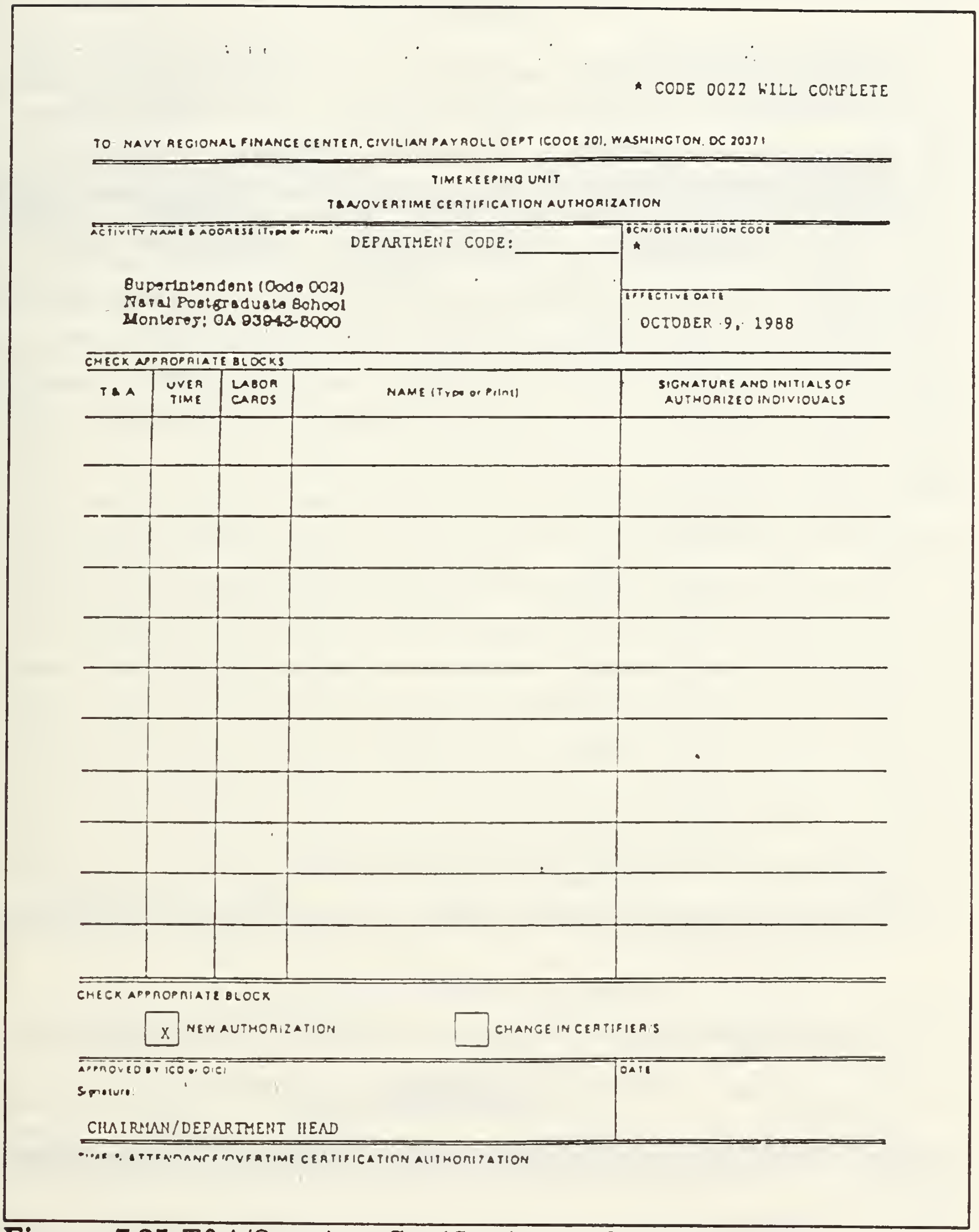
AUTHORIZATION SIGNATURE

REGULAR HOURS	OVERTIME HOURS
144.0	

TIME CARD
NRFCWASH 7410 17 (8 81)

EXAMPLE OF FIREFIGHTERS
TIMECARD

Figure 7.24 Time Card: Fire fighter



* CODE 0022 WILL COMPLETE

TO NAVY REGIONAL FINANCE CENTER, CIVILIAN PAYROLL DEPT (CODE 20), WASHINGTON, DC 20371

TIMEKEEPING UNIT

T&A/OVERTIME CERTIFICATION AUTHORIZATION

ACTIVITY NAME & ADDRESS (Type or Print)

DEPARTMENT CODE: ________

Superintendent (Code 002)
Naval Postgraduate School
Monterey, CA 93943-5000

SCN/DISTRIBUTION CODE
*

EFFECTIVE DATE
OCTOBER 9, 1988

CHECK APPROPRIATE BLOCKS

T & A	OVER TIME	LABOR CARDS	NAME (Type or Print)	SIGNATURE AND INITIALS OF AUTHORIZED INDIVIDUALS

CHECK APPROPRIATE BLOCK

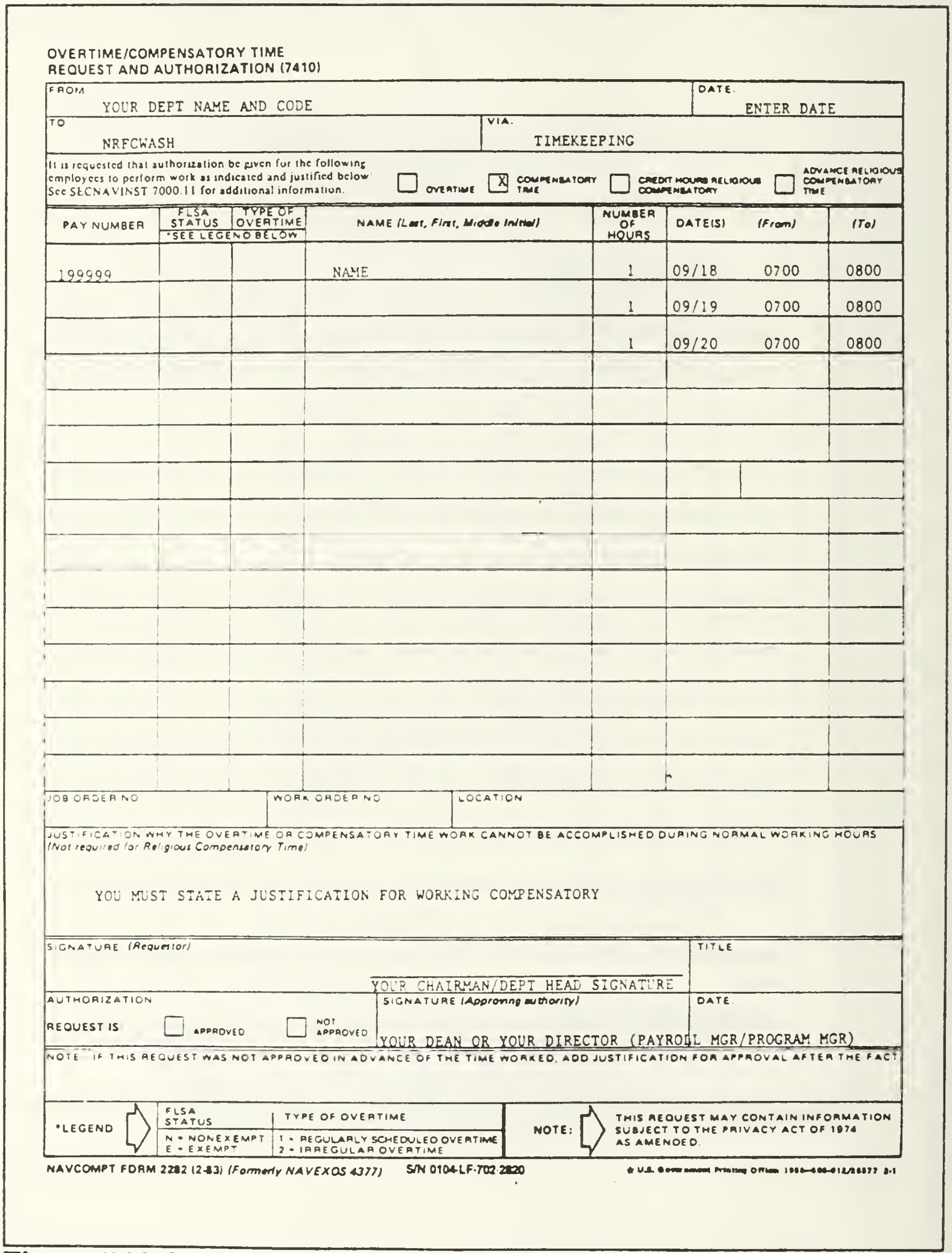
☒ NEW AUTHORIZATION ☐ CHANGE IN CERTIFIER/S

APPROVED BY (CO or OIC)
Signature:
CHAIRMAN/DEPARTMENT HEAD

DATE

TIME & ATTENDANCE/OVERTIME CERTIFICATION AUTHORIZATION

Figure 7.25 T&A/Overtime Certification Authorization



OVERTIME/COMPENSATORY TIME
REQUEST AND AUTHORIZATION (7410)

FROM YOUR DEPT NAME AND CODE	DATE. ENTER DATE
TO NRFCWASH	VIA. TIMEKEEPING

It is requested that authorization be given for the following employees to perform work as indicated and justified below. See SECNAVINST 7000.11 for additional information.

☐ OVERTIME ☒ COMPENSATORY TIME ☐ CREDIT HOURS RELIGIOUS COMPENSATORY ☐ ADVANCE RELIGIOUS COMPENSATORY TIME

PAY NUMBER	FLSA STATUS *SEE LEGEND BELOW	TYPE OF OVERTIME *SEE LEGEND BELOW	NAME *(Last, First, Middle Initial)*	NUMBER OF HOURS	DATE(S)	*(From)*	*(To)*
199999			NAME	1	09/18	0700	0800
				1	09/19	0700	0800
				1	09/20	0700	0800

JOB ORDER NO	WORK ORDER NO	LOCATION

JUSTIFICATION WHY THE OVERTIME OR COMPENSATORY TIME WORK CANNOT BE ACCOMPLISHED DURING NORMAL WORKING HOURS *(Not required for Religious Compensatory Time)*

YOU MUST STATE A JUSTIFICATION FOR WORKING COMPENSATORY

SIGNATURE *(Requestor)* YOUR CHAIRMAN/DEPT HEAD SIGNATURE	TITLE
AUTHORIZATION REQUEST IS ☐ APPROVED ☐ NOT APPROVED SIGNATURE *(Approving authority)* YOUR DEAN OR YOUR DIRECTOR (PAYROLL MGR/PROGRAM MGR)	DATE.

NOTE: IF THIS REQUEST WAS NOT APPROVED IN ADVANCE OF THE TIME WORKED, ADD JUSTIFICATION FOR APPROVAL AFTER THE FACT

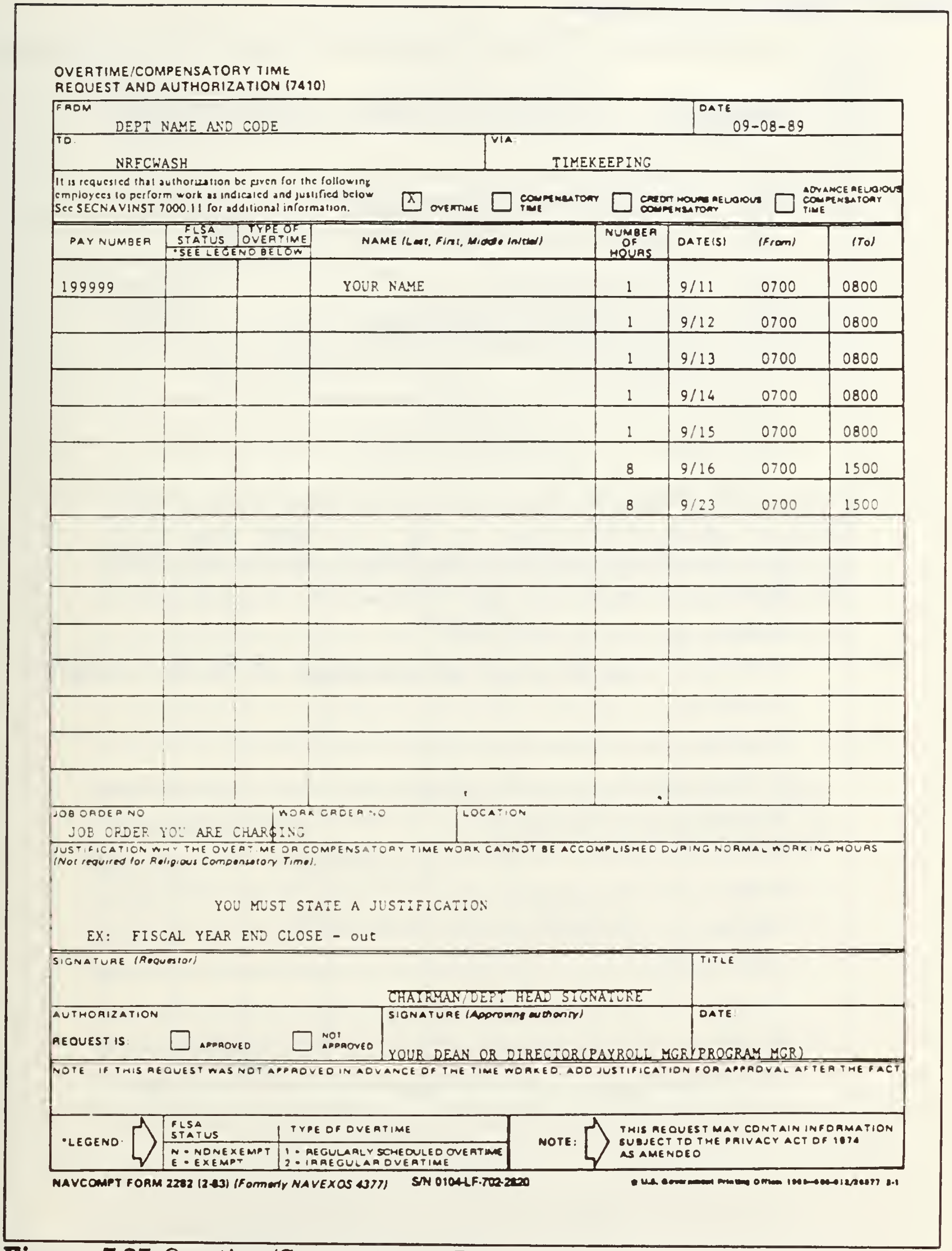
*LEGEND

FLSA STATUS	TYPE OF OVERTIME
N = NONEXEMPT E = EXEMPT	1 = REGULARLY SCHEDULED OVERTIME 2 = IRREGULAR OVERTIME

NOTE: THIS REQUEST MAY CONTAIN INFORMATION SUBJECT TO THE PRIVACY ACT OF 1974 AS AMENDED.

NAVCOMPT FORM 2282 (2-83) *(Formerly NAVEXOS 4377)* S/N 0104-LF-702-2820 ☆ U.S. Government Printing Office [illegible]

Figure 7.26 Overtime/Compensatory Time, Request and Authorization (Compensatory Time)



OVERTIME/COMPENSATORY TIME
REQUEST AND AUTHORIZATION (7410)

FROM DEPT NAME AND CODE	DATE 09-08-89
TO: NRFCWASH	VIA: TIMEKEEPING

It is requested that authorization be given for the following employees to perform work as indicated and justified below. See SECNAVINST 7000.11 for additional information. ☒ OVERTIME ☐ COMPENSATORY TIME ☐ CREDIT HOURS RELIGIOUS COMPENSATORY ☐ ADVANCE RELIGIOUS COMPENSATORY TIME

PAY NUMBER	FLSA STATUS *SEE LEGEND BELOW	TYPE OF OVERTIME	NAME *(Last, First, Middle Initial)*	NUMBER OF HOURS	DATE(S)	*(From)*	*(To)*
199999			YOUR NAME	1	9/11	0700	0800
				1	9/12	0700	0800
				1	9/13	0700	0800
				1	9/14	0700	0800
				1	9/15	0700	0800
				8	9/16	0700	1500
				8	9/23	0700	1500

JOB ORDER NO JOB ORDER YOU ARE CHARGING	WORK ORDER NO	LOCATION

JUSTIFICATION WHY THE OVERTIME OR COMPENSATORY TIME WORK CANNOT BE ACCOMPLISHED DURING NORMAL WORKING HOURS *(Not required for Religious Compensatory Time).*

YOU MUST STATE A JUSTIFICATION

EX: FISCAL YEAR END CLOSE - out

SIGNATURE *(Requestor)* CHAIRMAN/DEPT HEAD SIGNATURE	TITLE

AUTHORIZATION
REQUEST IS: ☐ APPROVED ☐ NOT APPROVED

SIGNATURE *(Approving authority)*
YOUR DEAN OR DIRECTOR(PAYROLL MGR/PROGRAM MGR)

DATE:

NOTE: IF THIS REQUEST WAS NOT APPROVED IN ADVANCE OF THE TIME WORKED, ADD JUSTIFICATION FOR APPROVAL AFTER THE FACT.

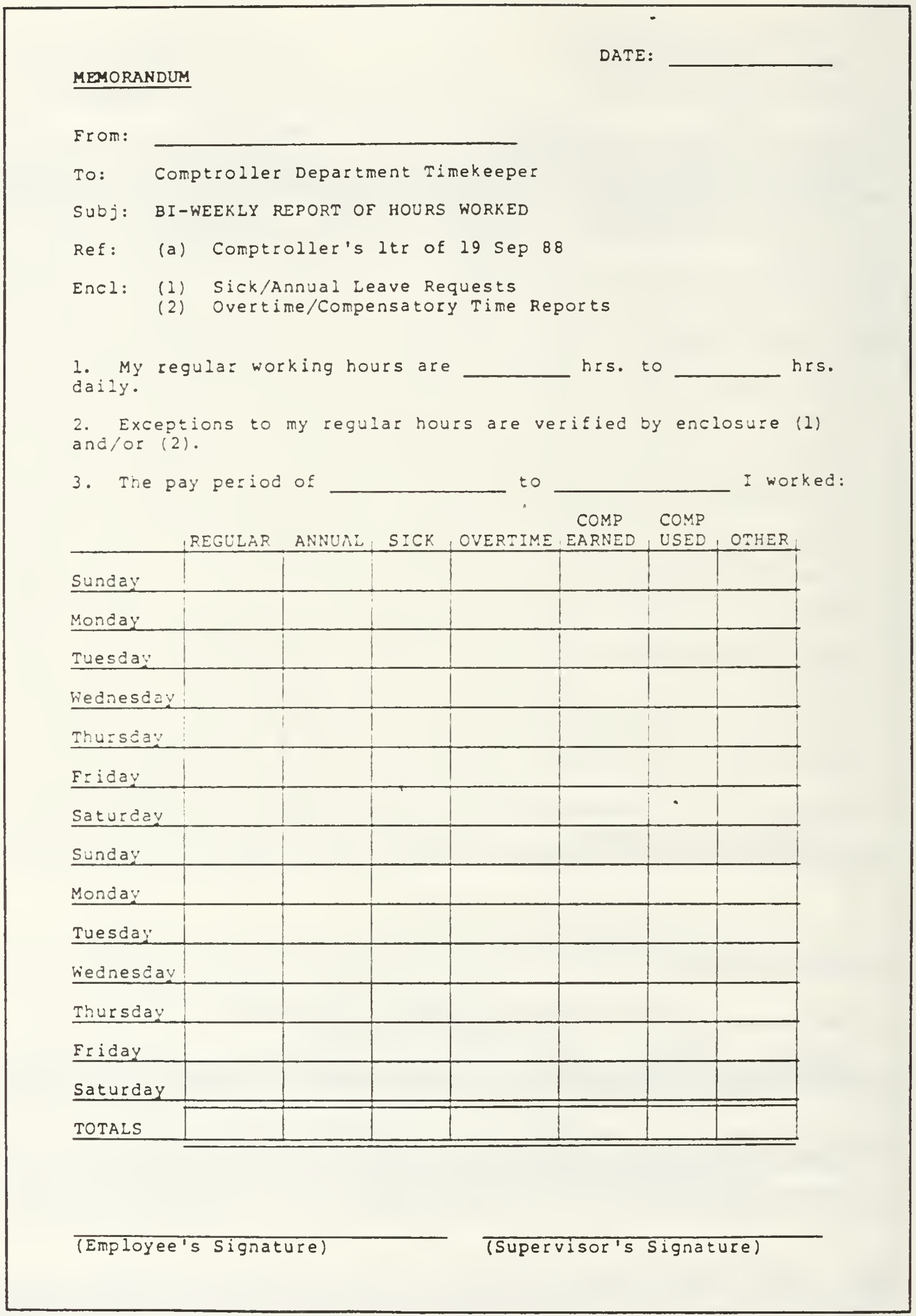
*LEGEND:

FLSA STATUS	TYPE OF OVERTIME
N = NONEXEMPT E = EXEMPT	1 = REGULARLY SCHEDULED OVERTIME 2 = IRREGULAR OVERTIME

NOTE: THIS REQUEST MAY CONTAIN INFORMATION SUBJECT TO THE PRIVACY ACT OF 1974 AS AMENDED

NAVCOMPT FORM 2282 (2-83) *(Formerly NAVEXOS 4377)* S/N 0104-LF-702-2820

Figure 7.27 Overtime/Compensatory Time, Request and Authorization (Overtime)



DATE: ______________

MEMORANDUM

From: ______________________________

To: Comptroller Department Timekeeper

Subj: BI-WEEKLY REPORT OF HOURS WORKED

Ref: (a) Comptroller's ltr of 19 Sep 88

Encl: (1) Sick/Annual Leave Requests
(2) Overtime/Compensatory Time Reports

1. My regular working hours are _________ hrs. to _________ hrs. daily.

2. Exceptions to my regular hours are verified by enclosure (1) and/or (2).

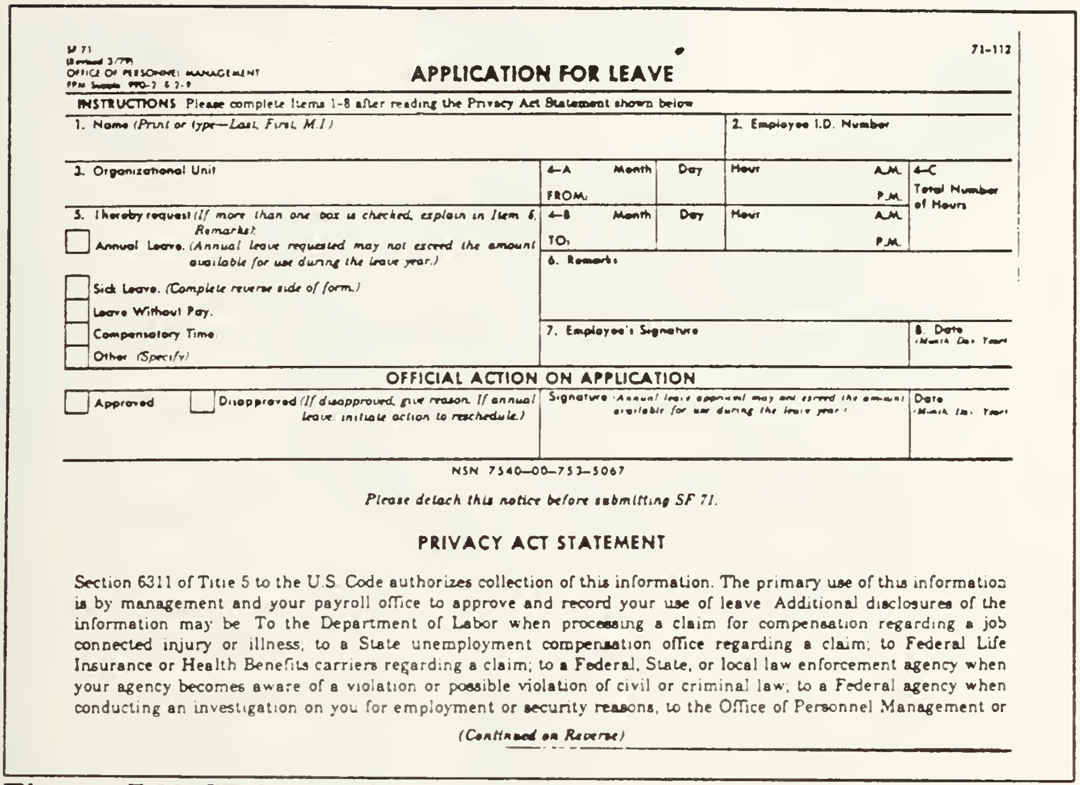
3. The pay period of _______________ to _______________ I worked:

	REGULAR	ANNUAL	SICK	OVERTIME	COMP EARNED	COMP USED	OTHER
Sunday							
Monday							
Tuesday							
Wednesday							
Thursday							
Friday							
Saturday							
Sunday							
Monday							
Tuesday							
Wednesday							
Thursday							
Friday							
Saturday							
TOTALS							

(Employee's Signature)

(Supervisor's Signature)

Figure 7.28 Bi-Weekly Report of Hours Worked



SF 71
(Revised 3/79)
OFFICE OF PERSONNEL MANAGEMENT
FPM Supple. 990-2 S 2-9

71-112

APPLICATION FOR LEAVE

INSTRUCTIONS Please complete Items 1-8 after reading the Privacy Act Statement shown below

1. Name *(Print or type—Last, First, M.I.)*

2. Employee I.D. Number

3. Organizational Unit

4-A FROM: Month | Day | Hour A.M. P.M.

4-B TO: Month | Day | Hour A.M. P.M.

4-C Total Number of Hours

5. I hereby request *(If more than one box is checked, explain in Item 6, Remarks)*:

☐ Annual Leave. *(Annual leave requested may not exceed the amount available for use during the leave year.)*

☐ Sick Leave. *(Complete reverse side of form.)*

☐ Leave Without Pay.

☐ Compensatory Time.

☐ Other *(Specify)*

6. Remarks:

7. Employee's Signature

8. Date *(Month, Day, Year)*

OFFICIAL ACTION ON APPLICATION

☐ Approved

☐ Disapproved *(If disapproved, give reason. If annual leave, initiate action to reschedule.)*

Signature *(Annual leave approval may not exceed the amount available for use during the leave year.)*

Date *(Month, Day, Year)*

NSN 7540—00—753—5067

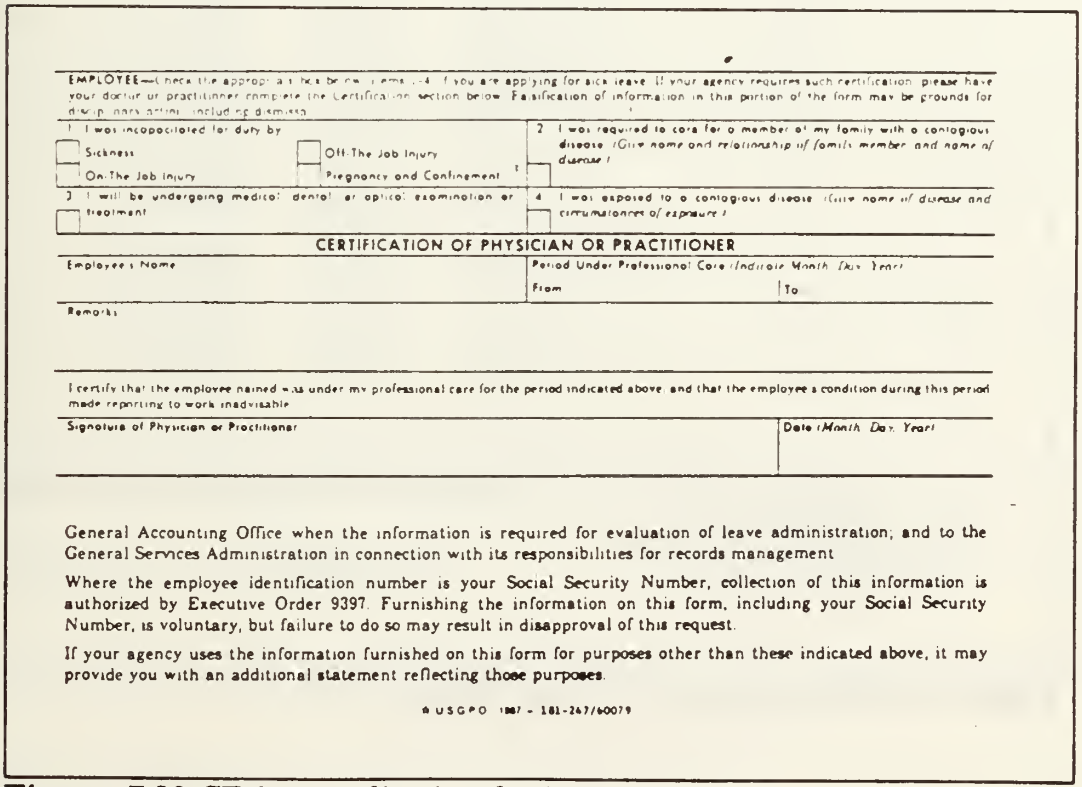
Please detach this notice before submitting SF 71.

PRIVACY ACT STATEMENT

Section 6311 of Title 5 to the U.S. Code authorizes collection of this information. The primary use of this information is by management and your payroll office to approve and record your use of leave. Additional disclosures of the information may be: To the Department of Labor when processing a claim for compensation regarding a job connected injury or illness; to a State unemployment compensation office regarding a claim; to Federal Life Insurance or Health Benefits carriers regarding a claim; to a Federal, State, or local law enforcement agency when your agency becomes aware of a violation or possible violation of civil or criminal law; to a Federal agency when conducting an investigation on you for employment or security reasons; to the Office of Personnel Management or

(Continued on Reverse)

Figure 7.29 SF 71: Application for Leave (Front)



EMPLOYEE—Check the appropriate box below (items 1-4) if you are applying for sick leave. If your agency requires such certification, please have your doctor or practitioner complete the Certification section below. Falsification of information in this portion of the form may be grounds for disciplinary action, including dismissal.

1. I was incapacitated for duty by

☐ Sickness ☐ Off-The Job Injury

☐ On-The Job Injury ☐ Pregnancy and Confinement

2. ☐ I was required to care for a member of my family with a contagious disease. *(Give name and relationship of family member and name of disease.)*

3. ☐ I will be undergoing medical, dental, or optical examination or treatment.

4. ☐ I was exposed to a contagious disease. *(Give name of disease and circumstances of exposure.)*

CERTIFICATION OF PHYSICIAN OR PRACTITIONER

Employee's Name

Period Under Professional Care *(Indicate Month, Day, Year)*

From | To

Remarks

I certify that the employee named was under my professional care for the period indicated above, and that the employee's condition during this period made reporting to work inadvisable.

Signature of Physician or Practitioner

Date *(Month, Day, Year)*

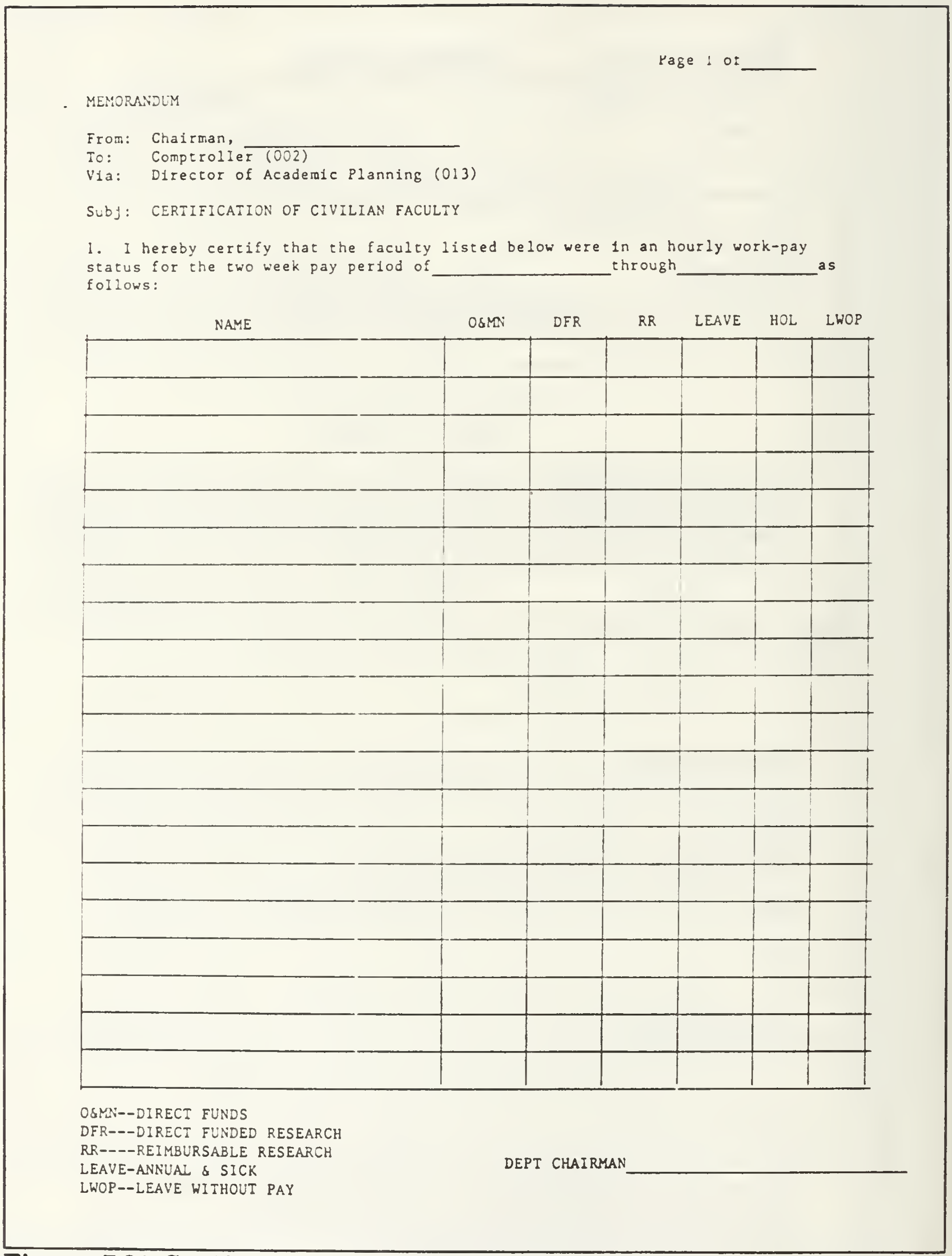
General Accounting Office when the information is required for evaluation of leave administration; and to the General Services Administration in connection with its responsibilities for records management.

Where the employee identification number is your Social Security Number, collection of this information is authorized by Executive Order 9397. Furnishing the information on this form, including your Social Security Number, is voluntary, but failure to do so may result in disapproval of this request.

If your agency uses the information furnished on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.

☆ U.S.G.P.O. 1987 - 181-247/60079

Figure 7.30 SF 71: Application for Leave (Reverse)



Page 1 of________

MEMORANDUM

From: Chairman, ______________________
To: Comptroller (002)
Via: Director of Academic Planning (013)

Subj: CERTIFICATION OF CIVILIAN FACULTY

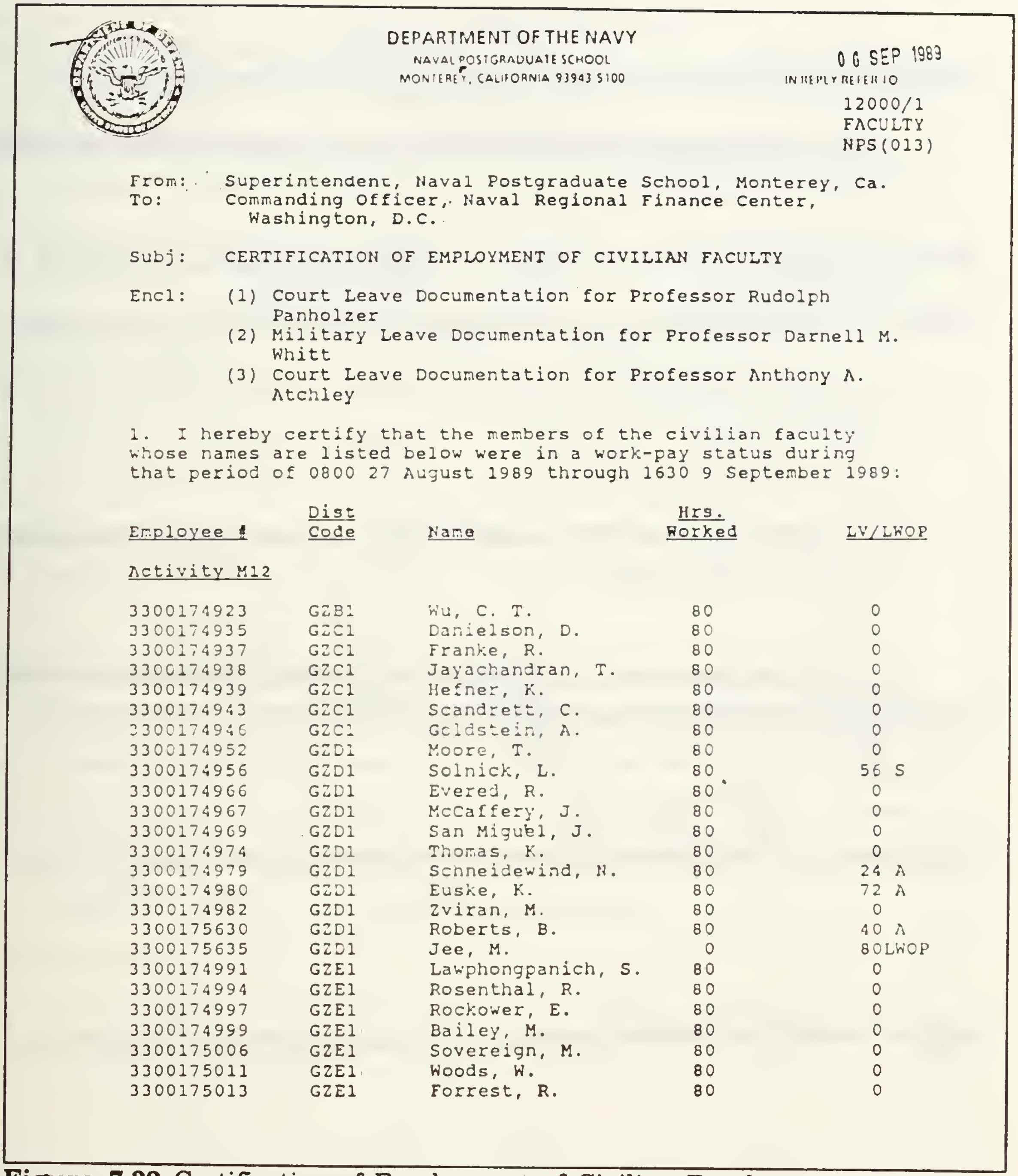
1. I hereby certify that the faculty listed below were in an hourly work-pay status for the two week pay period of__________________through______________as follows:

NAME	O&MN	DFR	RR	LEAVE	HOL	LWOP

O&MN--DIRECT FUNDS
DFR---DIRECT FUNDED RESEARCH
RR----REIMBURSABLE RESEARCH
LEAVE-ANNUAL & SICK
LWOP--LEAVE WITHOUT PAY

DEPT CHAIRMAN____________________________

Figure 7.31 Certification of Civilian Faculty



DEPARTMENT OF THE NAVY
NAVAL POSTGRADUATE SCHOOL
MONTEREY, CALIFORNIA 93943 5100

06 SEP 1989
IN REPLY REFER TO
12000/1
FACULTY
NPS(013)

From: Superintendent, Naval Postgraduate School, Monterey, Ca.
To: Commanding Officer, Naval Regional Finance Center, Washington, D.C.

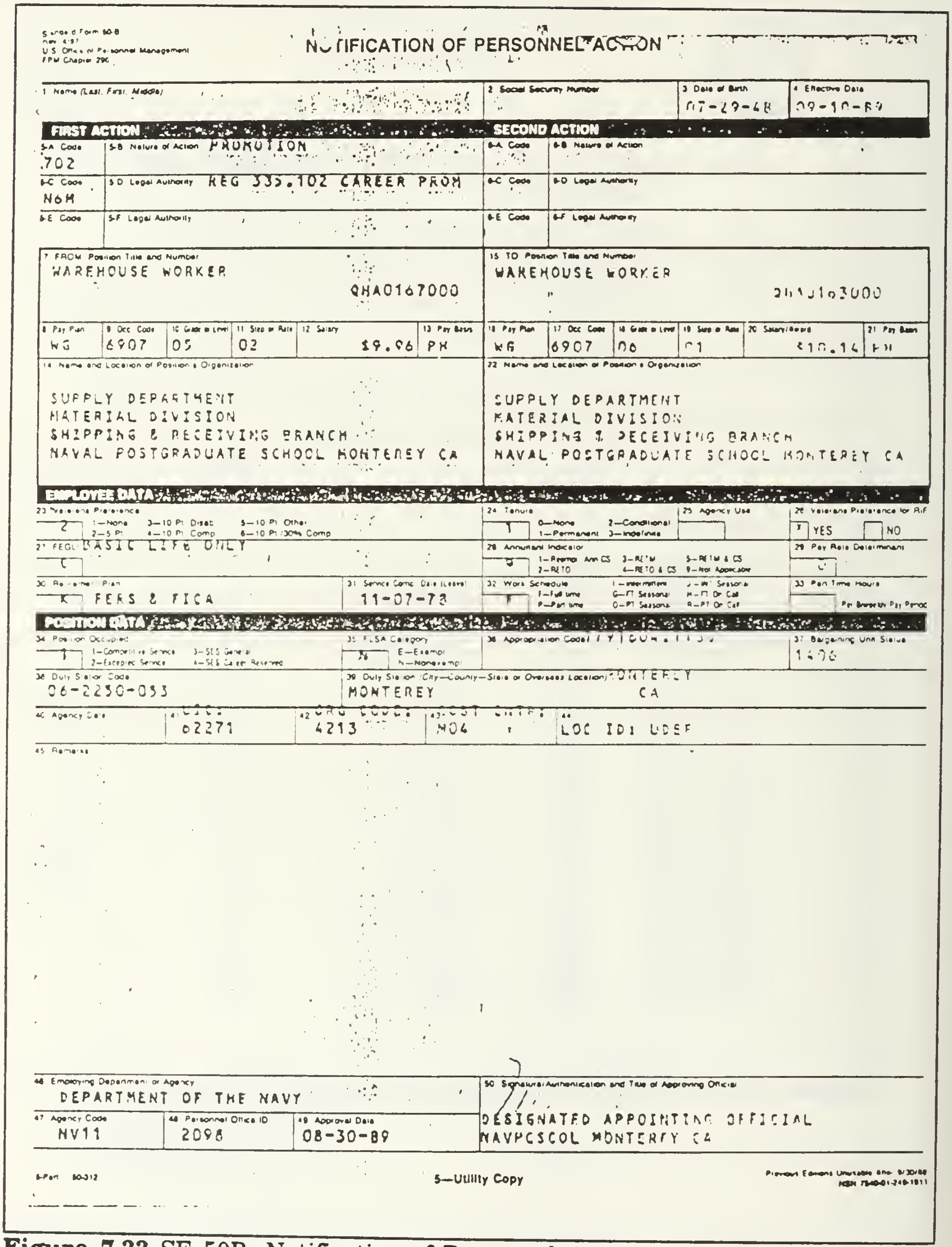
Subj: CERTIFICATION OF EMPLOYMENT OF CIVILIAN FACULTY

Encl: (1) Court Leave Documentation for Professor Rudolph Panholzer
(2) Military Leave Documentation for Professor Darnell M. Whitt
(3) Court Leave Documentation for Professor Anthony A. Atchley

1. I hereby certify that the members of the civilian faculty whose names are listed below were in a work-pay status during that period of 0800 27 August 1989 through 1630 9 September 1989:

Employee #	Dist Code	Name	Hrs. Worked	LV/LWOP
Activity M12				
3300174923	GZB1	Wu, C. T.	80	0
3300174935	GZC1	Danielson, D.	80	0
3300174937	GZC1	Franke, R.	80	0
3300174938	GZC1	Jayachandran, T.	80	0
3300174939	GZC1	Hefner, K.	80	0
3300174943	GZC1	Scandrett, C.	80	0
3300174946	GZC1	Goldstein, A.	80	0
3300174952	GZD1	Moore, T.	80	0
3300174956	GZD1	Solnick, L.	80	56 S
3300174966	GZD1	Evered, R.	80	0
3300174967	GZD1	McCaffery, J.	80	0
3300174969	GZD1	San Miguel, J.	80	0
3300174974	GZD1	Thomas, K.	80	0
3300174979	GZD1	Schneidewind, N.	80	24 A
3300174980	GZD1	Euske, K.	80	72 A
3300174982	GZD1	Zviran, M.	80	0
3300175630	GZD1	Roberts, B.	80	40 A
3300175635	GZD1	Jee, M.	0	80LWOP
3300174991	GZE1	Lawphongpanich, S.	80	0
3300174994	GZE1	Rosenthal, R.	80	0
3300174997	GZE1	Rockower, E.	80	0
3300174999	GZE1	Bailey, M.	80	0
3300175006	GZE1	Sovereign, M.	80	0
3300175011	GZE1	Woods, W.	80	0
3300175013	GZE1	Forrest, R.	80	0

Figure 7.32 Certification of Employment of Civilian Faculty



Standard Form 50-B
Rev. 4/87
U.S. Office of Personnel Management
FPM Chapter 296

NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) [illegible]	2 Social Security Number	3 Date of Birth 07-29-48	4 Effective Date 09-10-89

FIRST ACTION

5-A Code 702	5-B Nature of Action PROMOTION
5-C Code N6M	5-D Legal Authority REG 335.102 CAREER PROM
5-E Code	5-F Legal Authority

SECOND ACTION

6-A Code	6-B Nature of Action
6-C Code	6-D Legal Authority
6-E Code	6-F Legal Authority

7 FROM: Position Title and Number
WAREHOUSE WORKER
QHA0167000

8 Pay Plan	9 Occ. Code	10 Grade or Level	11 Step or Rate	12 Salary	13 Pay Basis
WG	6907	05	02	$9.96	PH

14 Name and Location of Position's Organization
SUPPLY DEPARTMENT
MATERIAL DIVISION
SHIPPING & RECEIVING BRANCH
NAVAL POSTGRADUATE SCHOOL MONTEREY CA

15 TO: Position Title and Number
WAREHOUSE WORKER
[illegible]

16 Pay Plan	17 Occ. Code	18 Grade or Level	19 Step or Rate	20 Salary/Award	21 Pay Basis
WG	6907	06	01	$10.14	PH

22 Name and Location of Position's Organization
SUPPLY DEPARTMENT
MATERIAL DIVISION
SHIPPING & RECEIVING BRANCH
NAVAL POSTGRADUATE SCHOOL MONTEREY CA

EMPLOYEE DATA

23 Veterans Preference: 2 (1—None; 2—5 Pt; 3—10 Pt Disab; 4—10 Pt Comp; 5—10 Pt Other; 6—10 Pt/30% Comp)
24 Tenure: 1 (0—None; 1—Permanent; 2—Conditional; 3—Indefinite)
25 Agency Use
26 Veterans Preference for RIF: ☒ YES ☐ NO
27 FEGLI: C BASIC LIFE ONLY
28 Annuitant Indicator: 9 (1—Reemployed Ann CS; 2—RETO; 3—RETM; 4—RETO & CS; 5—RETM & CS; 9—Not Applicable)
29 Pay Rate Determinant: 0
30 Retirement Plan: K FERS & FICA
31 Service Comp. Date (Leave): 11-07-73
32 Work Schedule: F (F—Full time; P—Part time; I—Intermittent; G—FT Seasonal; Q—PT Seasonal; J—Int Seasonal; H—FT On Call; R—PT On Call)
33 Part-Time Hours Per Biweekly Pay Period

POSITION DATA

34 Position Occupied: 1 (1—Competitive Service; 2—Excepted Service; 3—SES General; 4—SES Career Reserved)
35 FLSA Category: N (E—Exempt; N—Nonexempt)
36 Appropriation Code: [illegible]
37 Bargaining Unit Status: 1406
38 Duty Station Code: 06-2250-053
39 Duty Station (City—County—State or Overseas Location): MONTEREY MONTEREY CA

40 Agency Data	41	42	43	44
	62271	4213	N04	LOC ID: UDSF

45 Remarks

46 Employing Department or Agency DEPARTMENT OF THE NAVY	50 Signature/Authentication and Title of Approving Official DESIGNATED APPOINTING OFFICIAL NAVPGSCOL MONTEREY CA

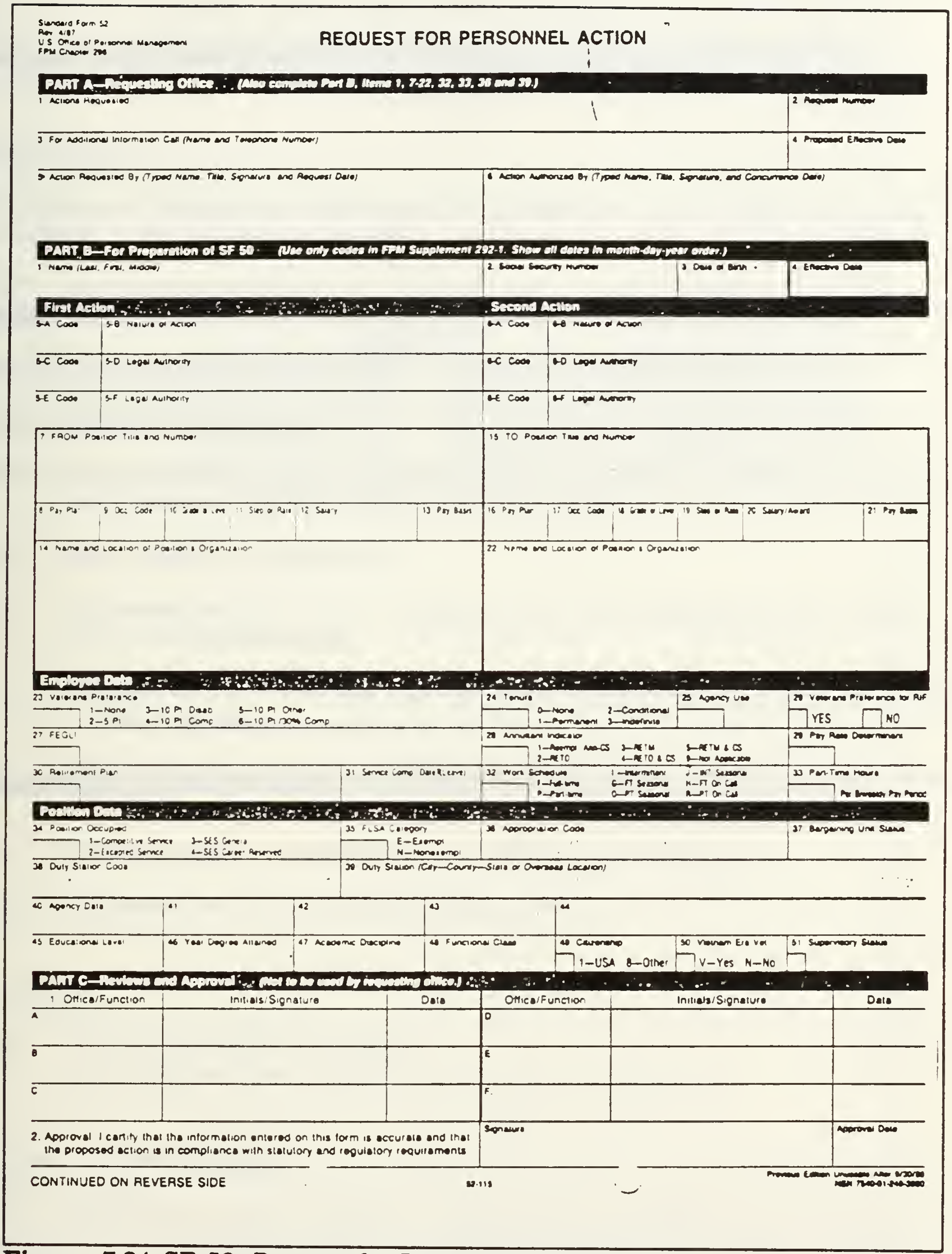
47 Agency Code	48 Personnel Office ID	49 Approval Date
NV11	2098	08-30-89

5-Part 50-312

5—Utility Copy

Previous Editions Unusable after 9/30/88
NSN 7540-01-249-1911

Figure 7.33 SF 50B: Notification of Personnel Action



Standard Form 52
Rev. 4/87
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

PART A—Requesting Office *(Also complete Part B, items 1, 7-22, 32, 33, 36 and 39.)*

1 Actions Requested

2 Request Number

3 For Additional Information Call *(Name and Telephone Number)*

4 Proposed Effective Date

5 Action Requested By *(Typed Name, Title, Signature, and Request Date)*

6 Action Authorized By *(Typed Name, Title, Signature, and Concurrence Date)*

PART B—For Preparation of SF 50 *(Use only codes in FPM Supplement 292-1. Show all dates in month-day-year order.)*

1 Name *(Last, First, Middle)*

2 Social Security Number

3 Date of Birth

4 Effective Date

First Action

5-A Code

5-B Nature of Action

5-C Code

5-D Legal Authority

5-E Code

5-F Legal Authority

Second Action

6-A Code

6-B Nature of Action

6-C Code

6-D Legal Authority

6-E Code

6-F Legal Authority

7 FROM: Position Title and Number

8 Pay Plan

9 Occ. Code

10 Grade or Level

11 Step or Rate

12 Salary

13 Pay Basis

14 Name and Location of Position's Organization

15 TO: Position Title and Number

16 Pay Plan

17 Occ. Code

18 Grade or Level

19 Step or Rate

20 Salary/Award

21 Pay Basis

22 Name and Location of Position's Organization

Employee Data

23 Veterans Preference
1—None
2—5 Pt
3—10 Pt Disab
4—10 Pt Comp
5—10 Pt Other
6—10 Pt /30% Comp

24 Tenure
0—None
1—Permanent
2—Conditional
3—Indefinite

25 Agency Use

26 Veterans Preference for RIF
☐ YES ☐ NO

27 FEGLI

28 Annuitant Indicator
1—Reempl. Ann-CS
2—RETO
3—RETM
4—RETO & CS
5—RETM & CS
9—Not Applicable

29 Pay Rate Determinant

30 Retirement Plan

31 Service Comp. Date (Leave)

32 Work Schedule
F—Full-time
P—Part-time
I—Intermittent
G—FT Seasonal
Q—PT Seasonal
J—INT Seasonal
K—FT On Call
R—PT On Call

33 Part-Time Hours
Per Biweekly Pay Period

Position Data

34 Position Occupied
1—Competitive Service
2—Excepted Service
3—SES General
4—SES Career Reserved

35 FLSA Category
E—Exempt
N—Nonexempt

36 Appropriation Code

37 Bargaining Unit Status

38 Duty Station Code

39 Duty Station *(City—County—State or Overseas Location)*

40 Agency Data

41

42

43

44

45 Educational Level

46 Year Degree Attained

47 Academic Discipline

48 Functional Class

49 Citizenship
☐ 1—USA 8—Other

50 Vietnam Era Vet
☐ V—Yes N—No

51 Supervisory Status
☐

PART C—Reviews and Approval *(Not to be used by requesting office.)*

1 Office/Function	Initials/Signature	Date	Office/Function	Initials/Signature	Date
A			D		
B			E		
C			F.		

2. Approval: I certify that the information entered on this form is accurate and that the proposed action is in compliance with statutory and regulatory requirements.

Signature

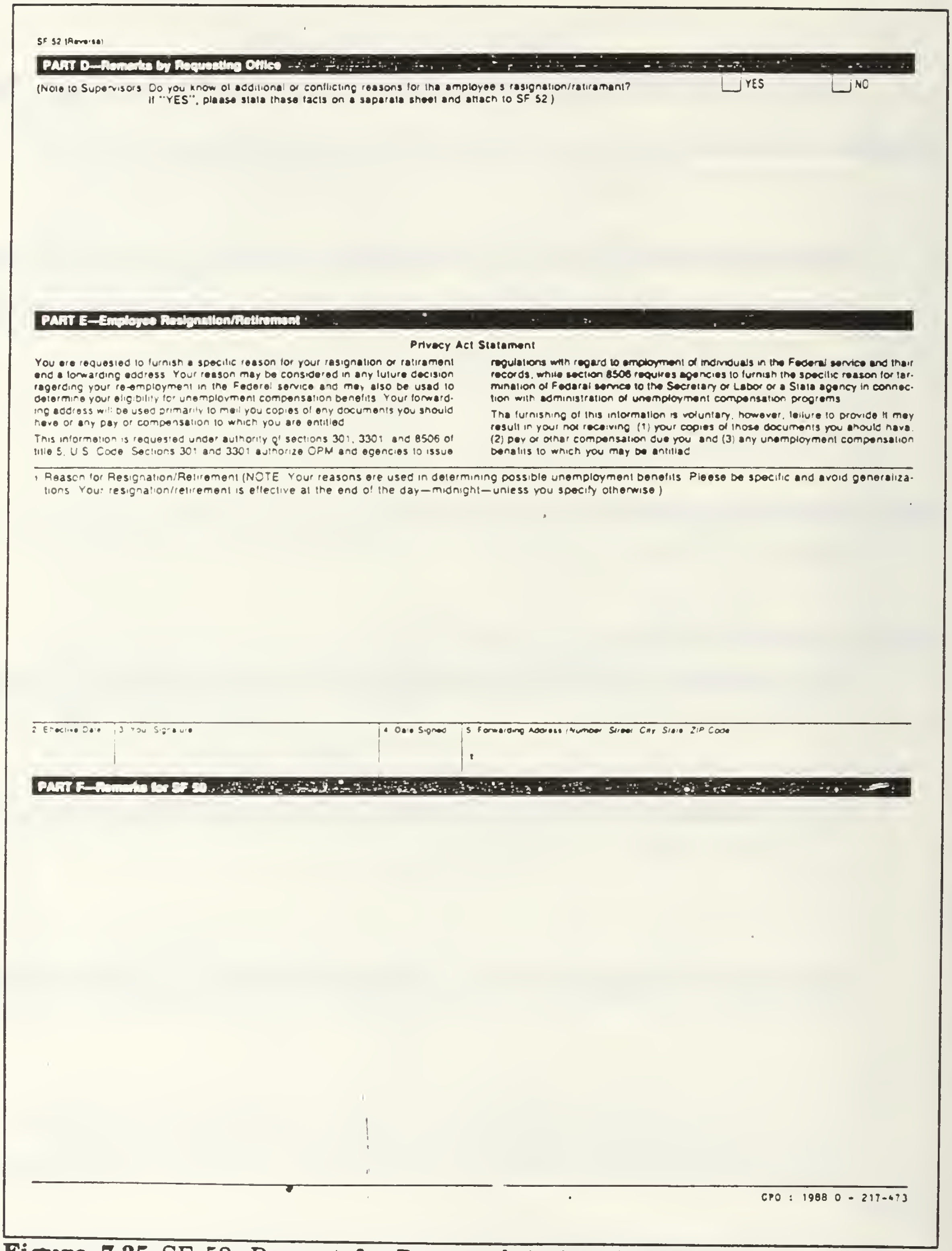
Approval Date

CONTINUED ON REVERSE SIDE

52-115

Previous Edition Unusable After 9/30/88
NSN 7540-01-[illegible]

Figure 7.34 SF 52: Request for Personnel Action (Front)



SF 52 (Reverse)

PART D—Remarks by Requesting Office

(Note to Supervisors Do you know of additional or conflicting reasons for the employee's resignation/retirement? If "YES", please state these facts on a separate sheet and attach to SF 52.) ☐ YES ☐ NO

PART E—Employee Resignation/Retirement

Privacy Act Statement

You are requested to furnish a specific reason for your resignation or retirement and a forwarding address. Your reason may be considered in any future decision regarding your re-employment in the Federal service and may also be used to determine your eligibility for unemployment compensation benefits. Your forwarding address will be used primarily to mail you copies of any documents you should have or any pay or compensation to which you are entitled.

This information is requested under authority of sections 301, 3301, and 8506 of title 5, U.S. Code. Sections 301 and 3301 authorize OPM and agencies to issue regulations with regard to employment of individuals in the Federal service and their records, while section 8506 requires agencies to furnish the specific reason for termination of Federal service to the Secretary of Labor or a State agency in connection with administration of unemployment compensation programs.

The furnishing of this information is voluntary; however, failure to provide it may result in your not receiving: (1) your copies of those documents you should have, (2) pay or other compensation due you, and (3) any unemployment compensation benefits to which you may be entitled.

1. Reason for Resignation/Retirement (NOTE: Your reasons are used in determining possible unemployment benefits. Please be specific and avoid generalizations. Your resignation/retirement is effective at the end of the day—midnight—unless you specify otherwise.)

2. Effective Date	3. Your Signature	4. Date Signed	5. Forwarding Address (Number, Street, City, State, ZIP Code)

PART F—Remarks for SF 50

GPO : 1988 0 - 217-473

Figure 7.35 SF 52: Request for Personnel Action (Reverse)

CHAPTER 8

TRAINING DOCUMENTS

Introduction.

This section describes the procedures and documents used by NPS to account for civilian training. The documents include:

(1) DD Form 1556 Request, Authorization, Agreement, Certification of Training and Reimbursement

(2) NAVSO 12410/63 Continuation Sheet for DD Form 1556

(3) Tentative Approval for Training Requests

(4) Memorandum - Waiver for Temporary and Intermittent Employees for Training in Non-Government Facilities

(5) Sole Source Justification

(6) Documentation of Cost - Comparison for Training Sources (Non-Government Sources)

(7) Memorandum - Further Information Requested on DD Form 1556 for (fill in name)

(8) Memorandum - Approval/Payment/Evaluation of Civilian Employee Training

(9) Memorandum - Certification of Receipt of Training

(10) Requests for Advance Registration Fees

References.

(1) NAVPGSCOLINST 12410.1E
Training and Development of Civilian Employees.

Document Description.

DD Form 1556 Request, Authorization, Agreement, Certification of Training and Reimbursement.

(Figure 8.1)

A DD Form 1556 "Request, Authorization, Agreement, Certification of Training and

Reimbursement" is required whenever an appropriated fund civilian employee plans to attend training on government time or at government expense.

NAVSO 12410/63 Continuation Sheet for DD Form 1556.

(Figure 8.2)

The NAVSO 12410/63 is used when more than one employee in a department is being nominated to attend the same course. The form is available from the Civilian Personnel Office (CPO) Training Officer. Only items 1, 2, 16b and 18a need to be filled in.

Military attendees and other personnel who are not handled by the NPS CPO; i.e., ROICC, Navy Exchange, and contract employees, should be shown on a separate Continuation Sheet. The NPS CPO handles employees from NPS, FNOC, NEPRF, DRMEC, PERSEREC and NOCD.

Tentative Approval For Training Requests.

(Figure 8.3)

This form is used when a training source requires commitment on short notice or prior to routing the DD Form 1556 through the CPO. Contact the CPO Training Directo to obtain tentative approval and have the information required on this form available when you call.

Memorandum - Waiver For Temporary and Intermittent Employees for Training in Non-Government Facilities.

(Figure 8.4)

This form is used when the training source is a non-government agency, and the training is to be provided for a temporary, part-time, or intermittent employee.

Sole Source Justification.

(Figure 8.5)

This form must be submitted when a non-government training source is the only source known to exist which can provide the training; and where the combination of direc and indirect department costs exceed $2000 per training occurrence.

Documentation of Cost - Comparison for Training Sources (Non-Government Sources).

(Figure 8.6)

This form must be submitted when a non-government training source is one of several sources which can provide the training; and where the combination of direct and indirect department costs exceed $2000 per training occurrence.

Memorandum - Further Information Requested on DD FORM 1556 For...

(Figure 8.7)

This memorandum is used when more information or corrections to the DD Form

1556 are needed. The original DD Form 1556 will be returned to the originating department with this memorandum attached.

Memorandum - Approval/Payment/Evaluation of Civilian Employee Training.
(Figure 8.8)

This memorandum is used to indicate approval of the DD Form 1556 training request, and to provide guidance regarding course scheduling and payment. The form will be attached to the original DD Form 1556 and returned to the department originating the request.

Memorandum - Certification of Receipt of Training.
(Figure 8.9)

The Certification of Receipt of Training is used when a course is to be paid by the billing/invoice method. After the invoice for training services has been received by the department, this document must be completed and returned to the Comptroller (Code 002) along with the invoice. A copy of the form must also be sent to the Training Director (Code 00411).

Requests for Advance Registration Fees for Training Less Than 10 Hours Duration.
(Figure 8.10, 8.11, & 8.12)

Requests for advance registration fees for classes which provide less than 10 hours training may be submitted as outlined in Figure 8.10. Examples of the required documents (SF-1164 and NAVCOMPT Form 2277) are provided in Figures 8.11 and 8.12.

General Information.

The following summary outlines the responsibilities associated with scheduling and paying for civilian training courses, and provides guidance in the preparation and routing of training documents. Additional information may be found in NAVPGSCOL Instruction 12410.1E.

Requesting Department.

1. A DD Form 1556 "Request, Authorization, Agreement, Certification of Training and Reimbursement" is required whenever an appropriated fund civilian employee plans to attend training on government time or at government expense.

2. The employee's department should complete (type) the 10-part carbon DD Form 1556. A marked copy of a DD Form 1556 is shown in Figure 8.1. The requesting department need not fill in the items which have been marked out.

3. If more than one employee in a department is nominated for the same course, use NAVSO Form 12410/63, "Continuation Sheet; Request Authorization, Agreement, Certification and Reimbursement, DD 1556" (Figure 8.2). The form is available from the Civilian Personnel Office (CPO) Training Officer. Only items 1, 2, 16b and 18a need to be filled in.

Part II Document Preparation

Military attendees and other personnel who are not handled by the NPS CPO, i.e., ROICC, Navy Exchange, and contract employees, should be shown on a separate Continuation Sheet. The NPS CPO is responsible for personnel employed by NPS, FNOC NEPRF, DRMEC, PERSEREC and NOCD.

4. The DD Form 1556 should be received by the Training Director no later than 5 working days prior to the scheduled training; or ten working days if travel orders (DD 1610) are attached. If the training source requires a commitment on short notice, or before the DD Form 1556 can be routed through the CPO, contact the CPO Training Director to obtain tentative approval. You should have the information on the "Tentative Approval for Training Requests" (Figure 8.3) available when you call.

5. Ensure training events receive prior approval through the chain of command and the CPO Training Director. Making a commitment to the party providing the training, prior of receiving official approval, may be designated as an "unauthorized obligation" and may not be paid with government funds.

6. When the training is being held on-site by the NPS CPO, or the employee is takin an academic course at NPS, a DD Form 1556 is not required.

7. If a training course is not sponsored by the NPS CPO or announced in the CPO Training Bulletin, the requesting department must provide a brochure or memo describin the course. This requirement does not apply to NPS academic courses.

8. If a course exceeds 80 hours in length and is provided by a non-government source the trainee must read, understand, date and sign Items 38 and 39 of Section E (Trainee Agreement/Certification); located on the reverse side of Copy 1 - DD Form 1556 .

9. If the training source is a non-government agency and training is to be provided fo a temporary, part-time, or intermittent employee, attach a completed copy of the memorandum, "Waiver for Temporary and Intermittent Employees for Training in Non-Government Facilities" (Figure 8.4).

10. When a non-government training source is used and the combination of direct (tuition) and indirect (per diem, travel, etc.) department costs exceed $2000 per training occurrence (not per individual employee), the following procedures apply:

> **A.** If only one source is known to exist which can provide this training, complete the "Memorandum for Sole Source Justification" (Figure 8.5) and attach it to the DD Form 1556.
>
> **B.** If several sources are known, complete the "Documentation of Cost - Comparison for Training Sources (Non-Government)" (Figure 8.6) and attach it to the DD Form 1556.

11. Departments must forward all copies of the DD Form 1556 and any other attachments, i.e., DD 1610s (Travel Orders), NAVCOMPT 2277s (Disbursement/Collection Voucher), to the CPO Training Director (Code 00411). If research funds are involved, ensure the documents are routed through Research Administration (Code 012) for approval.

12. Notify the CPO Training Director when employees are unable to attend scheduled courses, when dates of attendance have changed, or if the course is canceled.

13. If the course is disapproved, or if more information or corrections to the DD Form 1556 are needed, the original DD form 1556 will be returned to the originating department with a cover memorandum entitled, "Further Information Requested on DD Form For ______" (refer to Figure 8.7).

14. Following approval of the DD Form 1556, the CPO Training Director will forward Copy 9 (Evaluation of Training) of DD Form 1556, along with a cover memo, to the originating department. The cover memo, "Approval/ Payment/ Evaluation of Civilian Employee Training" (Figure 8.8), outlines the departments responsibilities regarding course scheduling and vendor payment.

If the course is to be paid by the billing/invoice method, the following procedures apply:

> **A.** A copy of the DD Form 1556 and a memorandum entitled "Certification of Receipt of Training" (Figure 8.9) will be returned to the department for use when the vendor's invoice is actually received.
>
> **B.** The completed "Certification of Receipt of Training" memo is to be returned to the Comptroller Department (Code 002) along with the invoice.
>
> **C.** The department supervisor must ensure that the employee completes the front and back of DD Form 1556 - Copy 9. The supervisor must also complete the appropriate portions on the back of the DD Form 1556 and return it to the CPO Training Director (Code 00411) within ten working days of course completion. A copy of the completed, "Certification of Receipt of Training" form should also be forwarded to Code 00411.

Civilian Personnel Office Training Director.

1. The Training Director is responsible for reviewing all civilian training requests, determining if regulatory requirements are met, and approving or disapproving attendance at the proposed training.

2. When approved training requires an expenditure of government funds, the Training Director will forward Copy 6 (green copy) of the DD Form 1556, along with the DD Form 1610 (Travel Order) if applicable, to the Comptroller Department for processing.

3. The Evaluation section of the DD Form 1556, Copy 9 (white), is returned to the requesting department to inform them of the Training Director's approval or disapproval. If the course will be paid via billing procedures, the Training Director will forward the following documents to the requesting department, along with Copy 9 of DD Form 1556:

> **(a)** A cover memo entitled, "Approval/Payment/Evaluation of Civilian Employee Training" (Figure 8.8).

(b) A photo-copy of the original DD Form 1556.

(c) A "Certification of Receipt of Training" memo (Figure 8.9).

4. If applicable, Copies 3,4, and 5 (yellow) of DD Form 1556 will be forwarded to the recommended training source to nominate/schedule employee attendance.

Comptroller Department.

1. The Comptroller Department must obtain an approved DD Form 1556 - Copy 6, before obligating funds for the training of appropriated fund civilian employees.

2. The Comptroller Department will forward the approved DD Form 1610 (Travel Order) to PSD if travel advances and transportation arrangements need to be made.

Document Preparation.

This section provides detailed procedures for completing DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement", as well as examples of the forms previously discussed in this Chapter. The sample documents include:

DD Form 1556 Request, Authorization, Agreement, Certification of Trainin and Reimbursement
(Figure 8.1)

NAVSO 12410/63 Continuation Sheet for DD Form 1556
(Figure 8.2)

Tentative Approval For Training Requests
(Figure 8.3)

Memorandum - Waiver For Temporary and Intermittent Employees for Training in Non-Government Facilities
(Figure 8.4)

Sole Source Justification
(Figure 8.5)

Documentation of Cost - Comparison for Training Sources (Non-Government Sources)
(Figure 8.6)

Memorandum - Further Information Requested on DD FORM 1556 For...
(Figure 8.7)

Memorandum - Approval/Payment/Evaluation of Civilian Employee Trainin
(Figure 8.8)

Memorandum - Certification of Receipt of Training
(Figure 8.9)

Requests for Advance Registration Fees for Training Less Than 10 Hours Duration
(Figure 8.10, 8.11, & 8.12)

DD FORM 1556

REQUEST, AUTHORIZATION, AGREEMENT, CERTIFICATION OF TRAINING AND REIMBURSEMENT

Areas marked out on the sample DD Form 1556 (Figures 8.1 and 8.2) need not be completed by the cost center. Leave Blank Any Item Not Covered In This Guid

Item Number/Letter	**Title**
B:	Standard Document Number: Self Explanatory

SECTION A - EMPLOYEE INFORMATION:

1.	Applicant's Name.
2.	1st Five Letters of Last Name.
3.	Social Security Number.
7.	Office Telephone.
8.	Official Title: The title on employee's position descripti
10.	Pay Plan/Series/Grade/Step: Pay Plan: GS or WG or AD (faculty). Occupation Series: 4 digits. Grade: 2 digits. Step: 2 digits.
11.	Organization Name: Department Name and Code.
12.	Organizational Mailing Address: Entire 3-line address.
16.	Handicapped or Disabled?

SECTION B - TRAINING COURSE DATA:

17.	Course Title: Spell out the complete course title.

18. Training Objectives: Brief explanation of how the course will improve the ability of the employee to perform the duties of the current position or the relationship of the course to the employee's formal training plan.

19.a. Name of Training Source: Provide the title of the organization producing the course.

19.b. Name/Mailing Address of Source: Complete name, address, and zip code of the training source. (NOTE: This may be a different address than the address of *source* in 19.a.).

19.c. Location of Training Site: Enter the location only if different from the mailing address in number 19b. If it is a correspondence course, type "Correspondence Course."

20.a. Purpose: Enter the code that best describes the purpose of the training.

1: Mission or Program Change.
2: Adjust to New Technology.
3: New Work Assignment.
4: Improve Present Performance.
5: Meet Future Staffing Needs (for a specific, established, and FORMAL training program or agreement).
6: Develop Unavailable Skills.

20.h. Priority (Enter ONE code):

1: Essential: Required by law or regulation or to prevent an adverse effect on the mission.

2: Needed: Necessary to replace losses through attrition.

3: Helpful: For an employee currently performing at an acceptable level in this area, but who would benefit from further training.

20.i. Reason for Selection of Source: Pick one code to show the reason why the source was selected.
1: Quality of Training.
2: Most Cost Effective.
3: Unique Capability of Source.
4: Location.
5: Not available in Government.

6: Incidental to procurement of equipment.
7: Timeliness.

21.a./b./c. Course Hours: Do not include travel time; enter 4 digits, if none, enter 0000. (e.g. one day course is 0008).

22.b. Catalog/Course Number: Leave blank if not available.

23.a.& b. Training Period Start/Complete: USE NUMBERS ONLY to show YYMMDD. Do not include travel time. Leave blank for correspondence courses.

SECTION C - COST INFORMATION:

24. If there are neither DIRECT (tuition) nor INDIRECT (travel or per diem) costs, mark an "X" and skip to Section D: Number 32.

25.a. Tuition Cost: Tuition charge or the registration fee.

NOTE: If the course has DIRECT COSTS (tuition several methods may be used to arrange for payment:

(A) ADVANCE ON DD FORM 1610: If the employee is traveling out of the Monterey area on travel orders and the course must be paid in advance, obligate the funds on a DD Form 1610 (Travel Order). Enter the estimated cost under "Other" in Block #14 of the DD Form 1610 and request an advance of tuition fees in Block #16.

The attendee may collect the advance fee earlier than the three days before travel normally require by PSD. If the training source has a deadline for fees and requires that they be paid prior to the course, note that date as a NLT date for payment of the advance in Block #16 of the DD Form 1610. (NOTE: PSD requires at least 5 working days to process an advance.)

A DD Form 1556 must still be submitted, however, a note should be made under Item #27 that, "Direct costs for the course will be obligated and paid as advance on DD 1610".

(B) ADVANCE ON NAVCOMPT FORM 2277: I an employee needs an advance to attend a course being given in the local area, complete a NAVCOMPT 2277 and attach it to the DD Form 1556. The original NAVCOMPT 2277 is sent to the Comptroller Department for processing. In Item #27 of the DD Form 1556 enter, "Direct costs to be paid as an advance on NAVCOMPT Form 2277".

(C) EMPLOYEE PAYS AND IS REIMBURSED: If an employee wants to pay the fee out of personal funds and claim reimbursement within five days following completion of the course, submit the DD Form 1556, but note in Item #27 that, "Employee will pay fee and claim for reimbursement on SF 1164". In this case, funds are obligated and submitted for payment at the same time on the SF 1164. A separate SF 1164 and DD Form 1556 must be completed for EACH person using this method; the DD Form 1556 Continuation Sheet (NAVSO 12410/63) may not be used.

(D) INVOICE: If the course will be paid by invoice, obligate the funds on a DD 1556 and forward the document to the Training Director (Code 00411). Once the course is approved, the Training Director will forward the following documents to the originating department:

* A photocopy of the original DD Form 1556

* Copy 9 of DD Form 1556

* "Certification of Receipt of Training" memo.

* "Approval/Payment/Evaluation of Civilian Employee Training" memo.

When the invoice arrives, attach the photocopy of the DD Form 1556 and the "Certification of Receipt of Training" and forward them to the Comptroller (Code 002) for payment. Also forward a copy of the Certification Memo to Code 00411. Use this method for attendance at all Government training.

25.b. Books, Material, Other Costs: Books and materials, or other incidental costs directly associated with the class or course.

25.c. Total Direct Costs: Estimated direct costs; totals of items 25 a and b. If no cost, leave blank.

26. NOTE: Any INDIRECT costs (travel, per diem, taxis, rental car, accommodations, etc.) will be obligated/advanced on a DD Form 1610 (Travel Order) and settled on a DD 1351-2 within five working days of completing travel. NOTE: PSD requires at least 5 working days to process a Travel Advance.

26.a. Travel Cost: Enter only cost of Government Travel Request (GTR) here. If another means of transportation is used or the employee uses a POV (privately owned vehicle), include the estimated travel costs in Item #26b with the per diem costs.

26.b. Per Diem/Other Costs: Enter the total of all indirect costs except GTR (see Item #26a), e.g., per diem, POV travel, taxis, rental car, etc.

26.c. Total of Indirect Costs: Total of Items #26a and #26b.

27. Accounting Data: If the direct costs are obligated as an advance payment on a DD Form 1610, type "Tuition will be paid as an Advance on DD Form 1610".

> If direct costs are obligated and paid on SF 1164, type "Tuition will be paid by employee from personal funds and claimed for reimbursement on SF 1164".
>
> If direct costs are paid as an advance on NAVCOMPT Form 2277, type "Direct costs will be paid as an advance on NAVCOMPT 2277".
>
> If costs are obligated on DD Form 1556 and paid by invoice, fill in this item using the appropriate accounting data.

30. Total of Direct and Indirect Costs: Actual or estimated total of all costs of training.

31. Job Order Number: Complete regardless of the method of payment.

SECTION D - APPROVAL/CONCURRENCE/CERTIFICATION:

32. Signature of Supervisor: Signature of nominee's immediate supervisor indicates approval for attendance and CERTIFICATION that requested training is JOB-

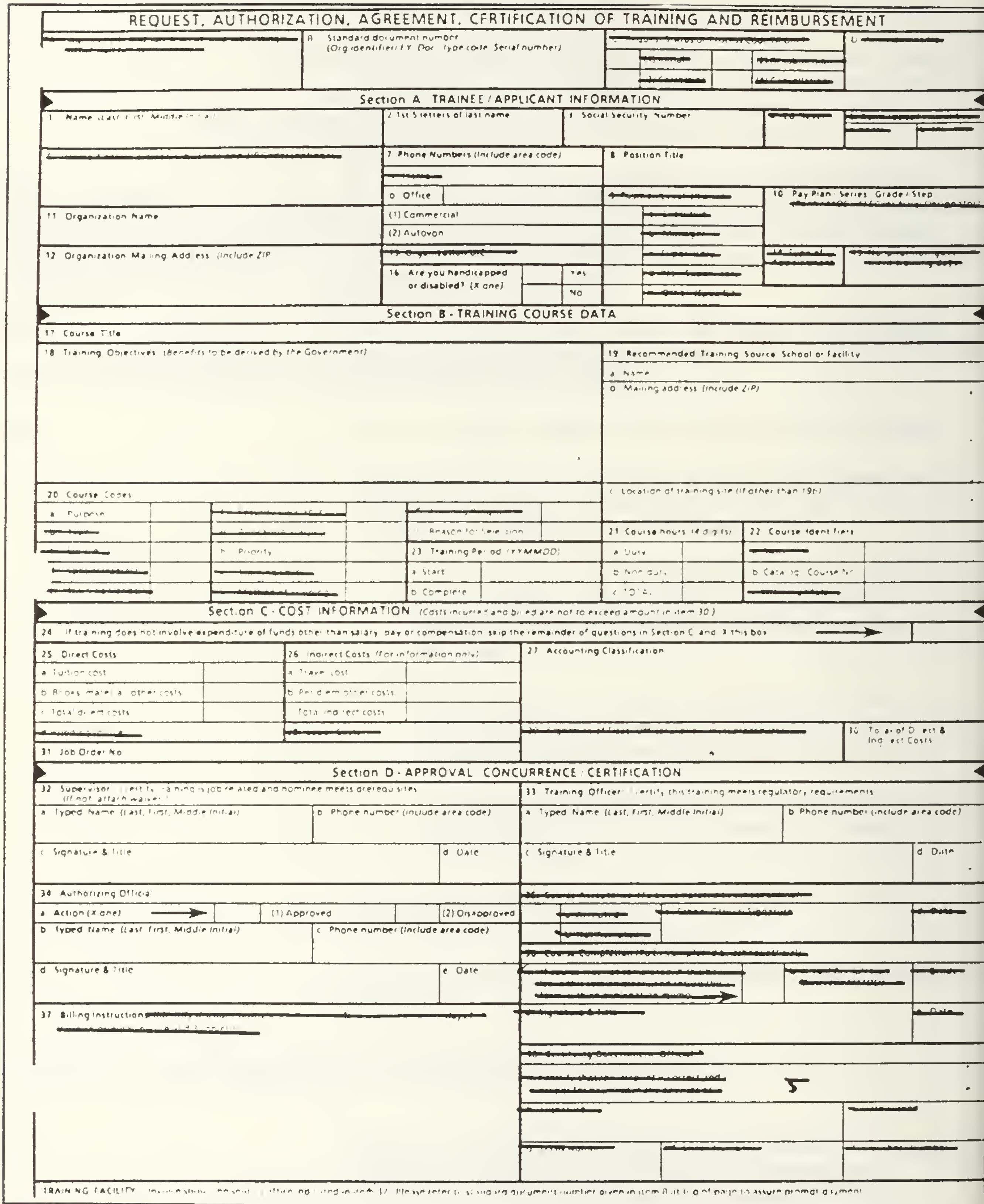
RELATED. Type the name, title, phone number, date and provide the signature of the supervisor.

33. Training Officer: Please type in:

a: Clark, Elizabeth H.
b: AVN 878-3052/(408)6464-3052
c: Training Director

34. Authorizing Official: To be signed by a Department Head, which is defined as an official who reports directly to the Superintendent, Provost, or a Payroll Manager. Enter (type) the name, title, phone number, date, and provide the signature of the official.

37. Billing Instructions: FNOC and NEPRF use organizational address; NPS departments use own code.



REQUEST, AUTHORIZATION, AGREEMENT, CERTIFICATION OF TRAINING AND REIMBURSEMENT

8 Standard document number (Org identifier/FY Doc type code Serial number)

Section A TRAINEE/APPLICANT INFORMATION

1 Name (Last, First, Middle Initial)
2 1st 5 letters of last name
3 Social Security Number
7 Phone Numbers (Include area code)
a Office
(1) Commercial
(2) Autovon
8 Position Title
10 Pay Plan/Series/Grade/Step
11 Organization Name
12 Organization Mailing Address (Include ZIP)
16 Are you handicapped or disabled? (X one) ☐ Yes ☐ No

Section B - TRAINING COURSE DATA

17 Course Title
18 Training Objectives (Benefits to be derived by the Government)
19 Recommended Training Source School or Facility
a Name
b Mailing address (Include ZIP)
c Location of training site (If other than 19b)
20 Course Codes
a Purpose
h Priority
Reason for selection
21 Course hours (4 digits)
a Duty
b Non duty
c TOTAL
22 Course Identifiers
b Catalog Course No
23 Training Period (YYMMDD)
a Start
b Complete

Section C - COST INFORMATION (Costs incurred and billed are not to exceed amount in item 30)

24 If training does not involve expenditure of funds other than salary, pay or compensation, skip the remainder of questions in Section C and X this box → ☐

25 Direct Costs
a Tuition cost
b Books, material, other costs
c Total direct costs

26 Indirect Costs (For information only)
a Travel cost
b Per diem, other costs
Total indirect costs

27 Accounting Classification

30 Total of Direct & Indirect Costs

31 Job Order No

Section D - APPROVAL/CONCURRENCE/CERTIFICATION

32 Supervisor: I certify training is job-related and nominee meets prerequisites (If not, attach waiver.)
a Typed Name (Last, First, Middle Initial)
b Phone number (Include area code)
c Signature & Title
d Date

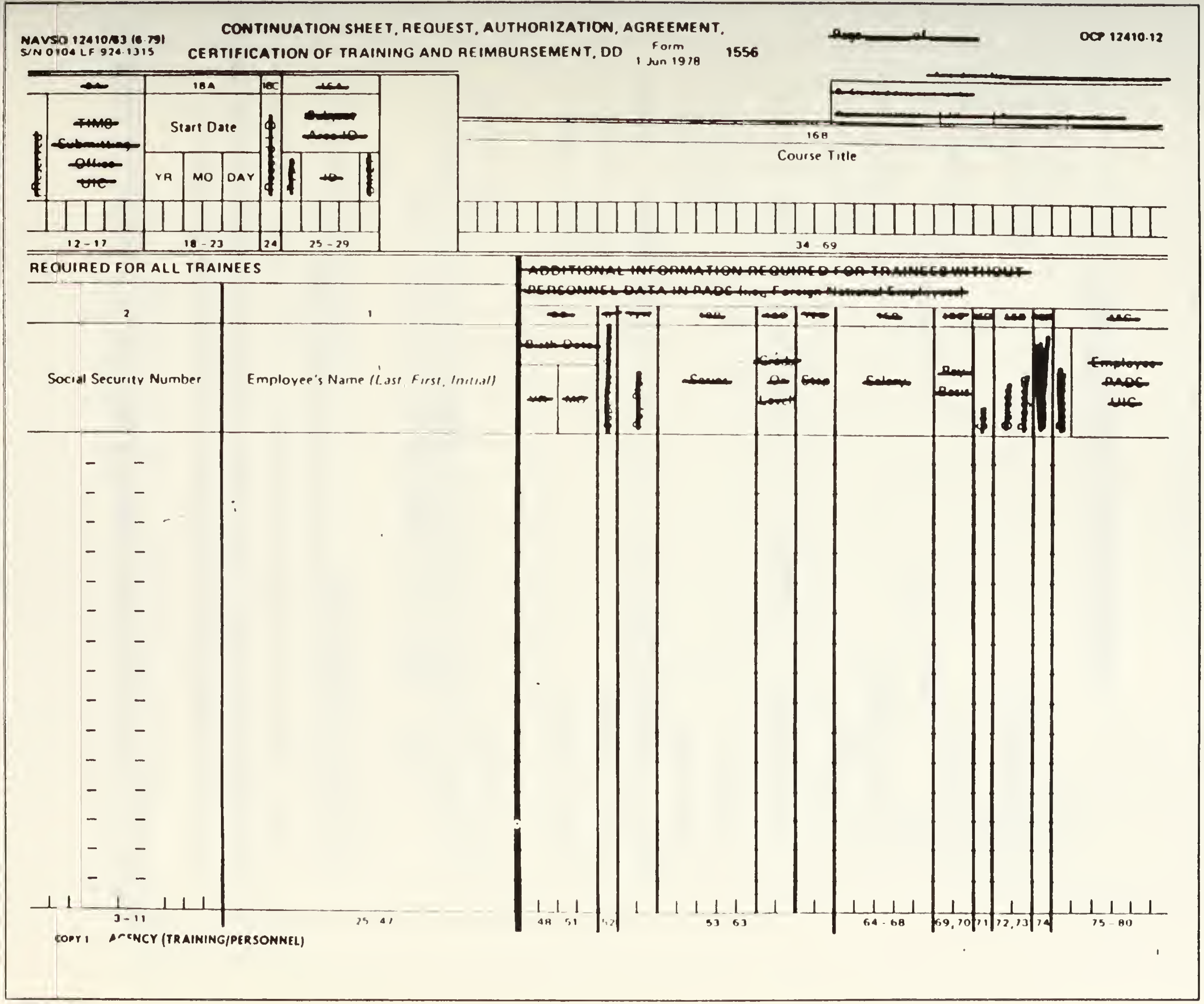
33 Training Officer: I certify this training meets regulatory requirements
a Typed Name (Last, First, Middle Initial)
b Phone number (Include area code)
c Signature & Title
d Date

34 Authorizing Official
a Action (X one) → ☐ (1) Approved ☐ (2) Disapproved
b Typed Name (Last, First, Middle Initial)
c Phone number (Include area code)
d Signature & Title
e Date

37 Billing Instructions

TRAINING FACILITY: Invoice should be sent to office indicated in item 37. Please refer to standard document number given in item 8 at top of page to assure prompt payment.

Figure 8.1 DD Form 1556: Request, Authorization, Agreement, Certification of Training and Reimbursement



NAVSO 12410/63 (6-79)
S/N 0104 LF 924-1315

CONTINUATION SHEET, REQUEST, AUTHORIZATION, AGREEMENT,
CERTIFICATION OF TRAINING AND REIMBURSEMENT, DD Form 1 Jun 1978 1556

~~Page ___ of ___~~

OCP 12410-12

	18A	18C	~~16A~~	16B
~~TIMS Submitting Office UIC~~	Start Date YR MO DAY		~~Subject Area ID~~ ~~ID~~	Course Title
12 - 17	18 - 23	24	25 - 29	34 - 69

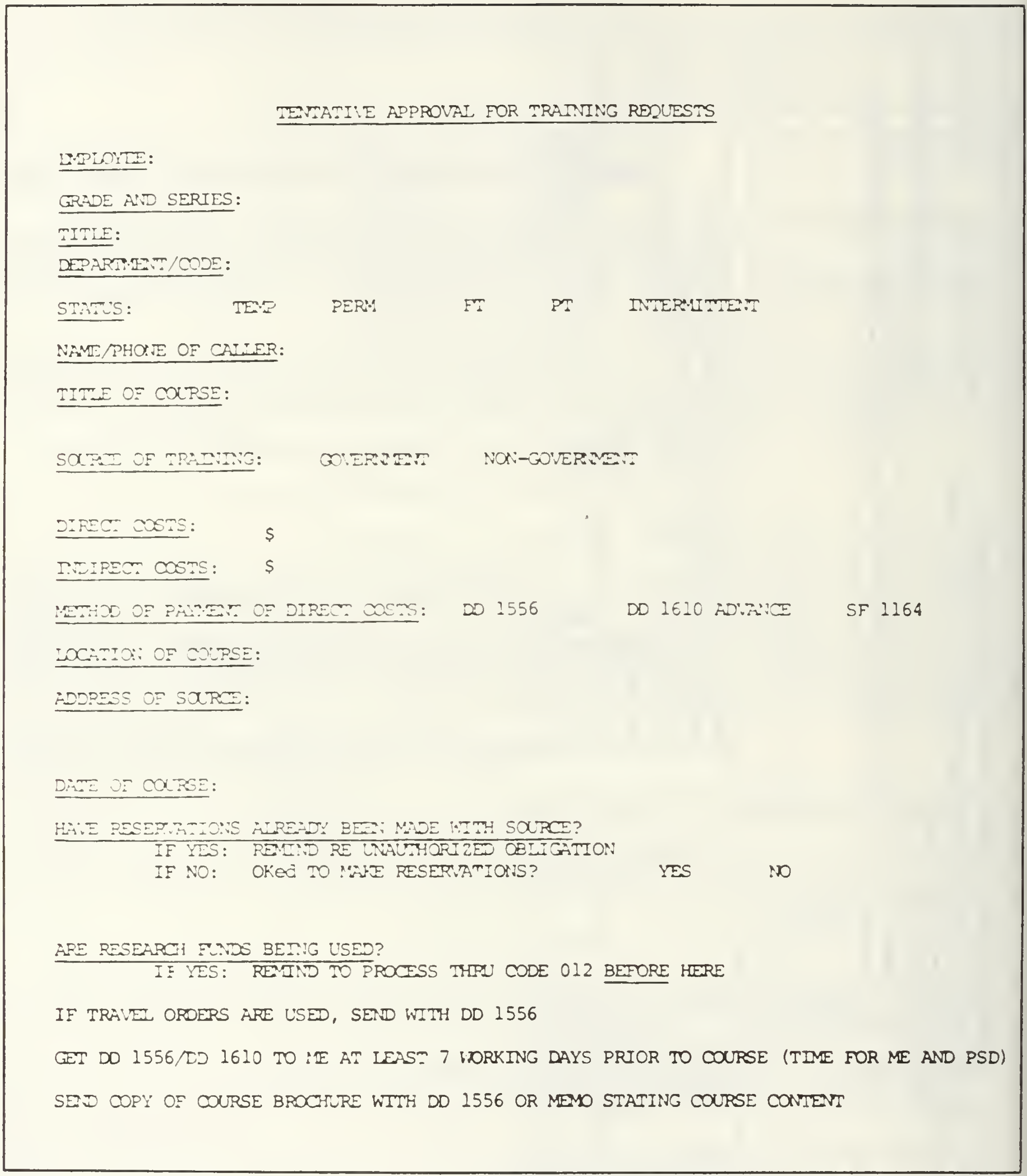
REQUIRED FOR ALL TRAINEES

~~ADDITIONAL INFORMATION REQUIRED FOR TRAINEES WITHOUT PERSONNEL DATA IN RADC (e.g. Foreign National Employees)~~

2	1									
Social Security Number	Employee's Name *(Last, First, Initial)*			~~Series~~	~~Grade Or Level~~	~~Step~~	~~Salary~~	~~Pay Basis~~		~~Employee RADC UIC~~
3 - 11	25 - 47	48 - 51	52	53 - 63			64 - 68	69, 70	71 | 72, 73 | 74	75 - 80

COPY 1 AGENCY (TRAINING/PERSONNEL)

Figure 8.2 NAVSO 12410/63 Continuation Sheet, Request, Authorization, Agreement, Certification of Training and Reimbursement, DD Form 1556



TENTATIVE APPROVAL FOR TRAINING REQUESTS

EMPLOYEE:

GRADE AND SERIES:

TITLE:

DEPARTMENT/CODE:

STATUS: TEMP PERM FT PT INTERMITTENT

NAME/PHONE OF CALLER:

TITLE OF COURSE:

SOURCE OF TRAINING: GOVERNMENT NON-GOVERNMENT

DIRECT COSTS: $

INDIRECT COSTS: $

METHOD OF PAYMENT OF DIRECT COSTS: DD 1556 DD 1610 ADVANCE SF 1164

LOCATION OF COURSE:

ADDRESS OF SOURCE:

DATE OF COURSE:

HAVE RESERVATIONS ALREADY BEEN MADE WITH SOURCE?
IF YES: REMIND RE UNAUTHORIZED OBLIGATION
IF NO: OKed TO MAKE RESERVATIONS? YES NO

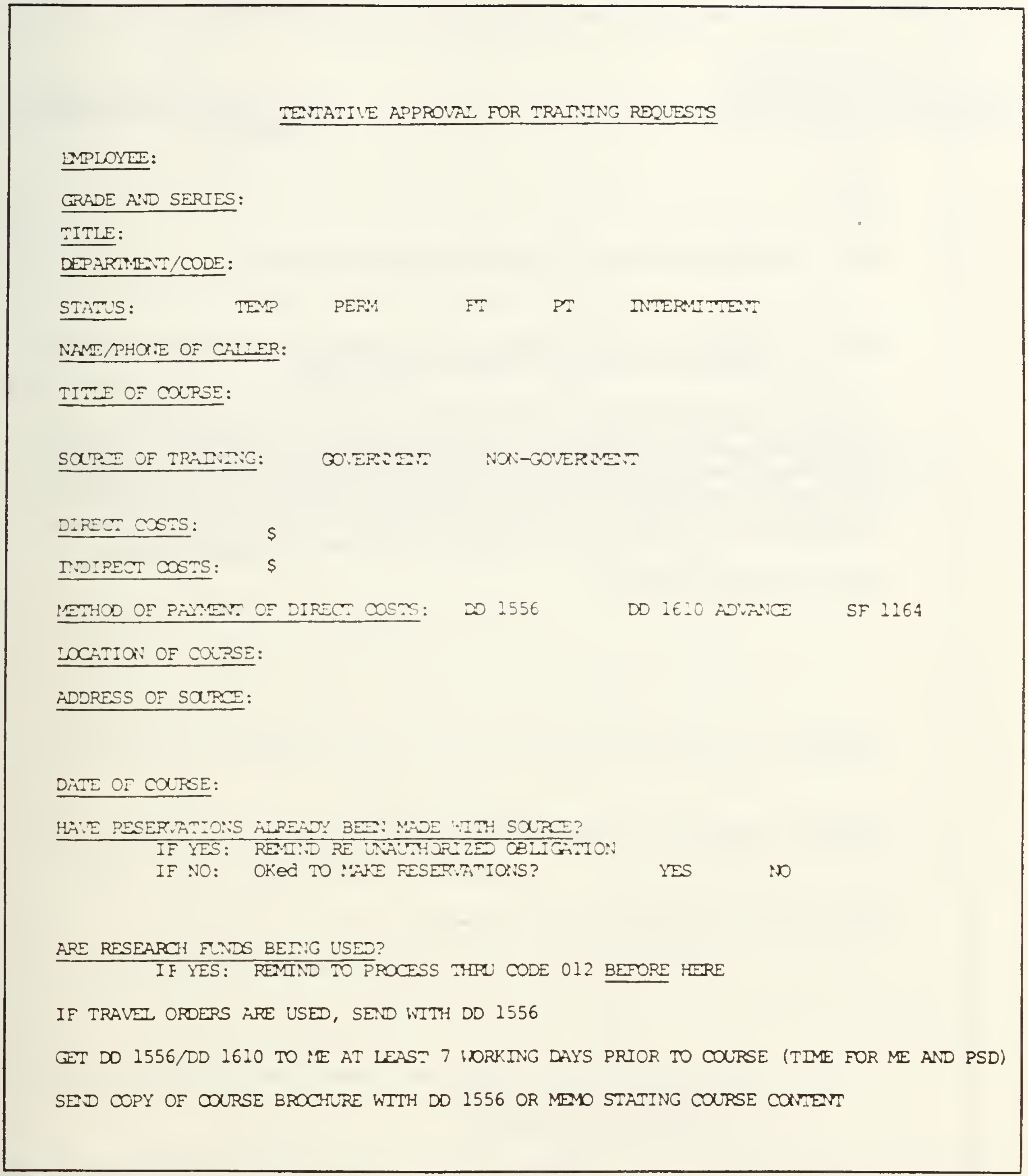
ARE RESEARCH FUNDS BEING USED?
IF YES: REMIND TO PROCESS THRU CODE 012 BEFORE HERE

IF TRAVEL ORDERS ARE USED, SEND WITH DD 1556

GET DD 1556/DD 1610 TO ME AT LEAST 7 WORKING DAYS PRIOR TO COURSE (TIME FOR ME AND PSD)

SEND COPY OF COURSE BROCHURE WITH DD 1556 OR MEMO STATING COURSE CONTENT

Figure 8.3 Tentative Approval for Training Requests



TENTATIVE APPROVAL FOR TRAINING REQUESTS

EMPLOYEE:

GRADE AND SERIES:

TITLE:

DEPARTMENT/CODE:

STATUS: TEMP PERM FT PT INTERMITTENT

NAME/PHONE OF CALLER:

TITLE OF COURSE:

SOURCE OF TRAINING: GOVERNMENT NON-GOVERNMENT

DIRECT COSTS: $

INDIRECT COSTS: $

METHOD OF PAYMENT OF DIRECT COSTS: DD 1556 DD 1610 ADVANCE SF 1164

LOCATION OF COURSE:

ADDRESS OF SOURCE:

DATE OF COURSE:

HAVE RESERVATIONS ALREADY BEEN MADE WITH SOURCE?
IF YES: REMIND RE UNAUTHORIZED OBLIGATION
IF NO: OKed TO MAKE RESERVATIONS? YES NO

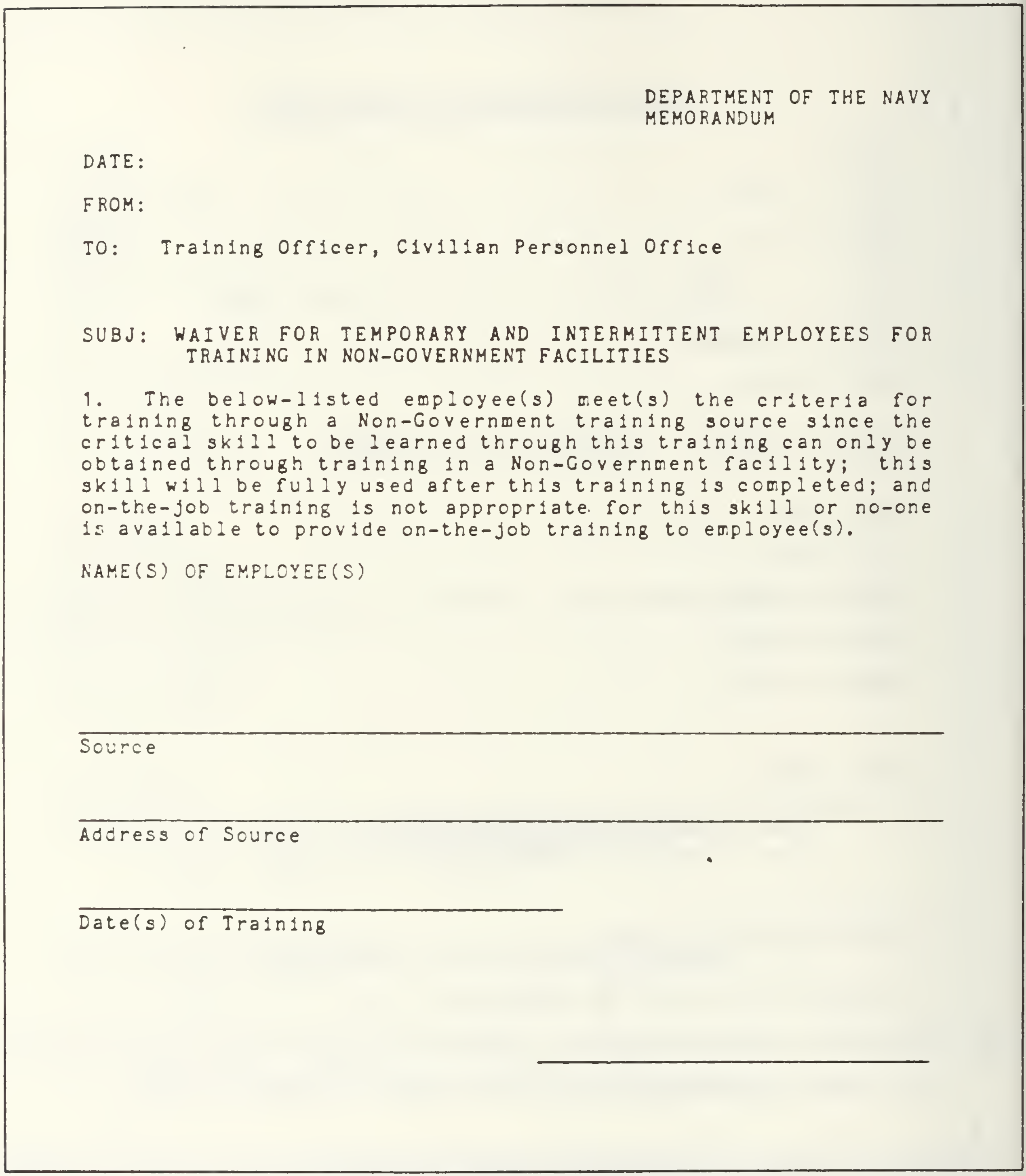
ARE RESEARCH FUNDS BEING USED?
IF YES: REMIND TO PROCESS THRU CODE 012 BEFORE HERE

IF TRAVEL ORDERS ARE USED, SEND WITH DD 1556

GET DD 1556/DD 1610 TO ME AT LEAST 7 WORKING DAYS PRIOR TO COURSE (TIME FOR ME AND PSD)

SEND COPY OF COURSE BROCHURE WITH DD 1556 OR MEMO STATING COURSE CONTENT

Figure 8.3 Tentative Approval for Training Requests



DEPARTMENT OF THE NAVY
MEMORANDUM

DATE:

FROM:

TO: Training Officer, Civilian Personnel Office

SUBJ: WAIVER FOR TEMPORARY AND INTERMITTENT EMPLOYEES FOR TRAINING IN NON-GOVERNMENT FACILITIES

1. The below-listed employee(s) meet(s) the criteria for training through a Non-Government training source since the critical skill to be learned through this training can only be obtained through training in a Non-Government facility; this skill will be fully used after this training is completed; and on-the-job training is not appropriate for this skill or no-one is available to provide on-the-job training to employee(s).

NAME(S) OF EMPLOYEE(S)

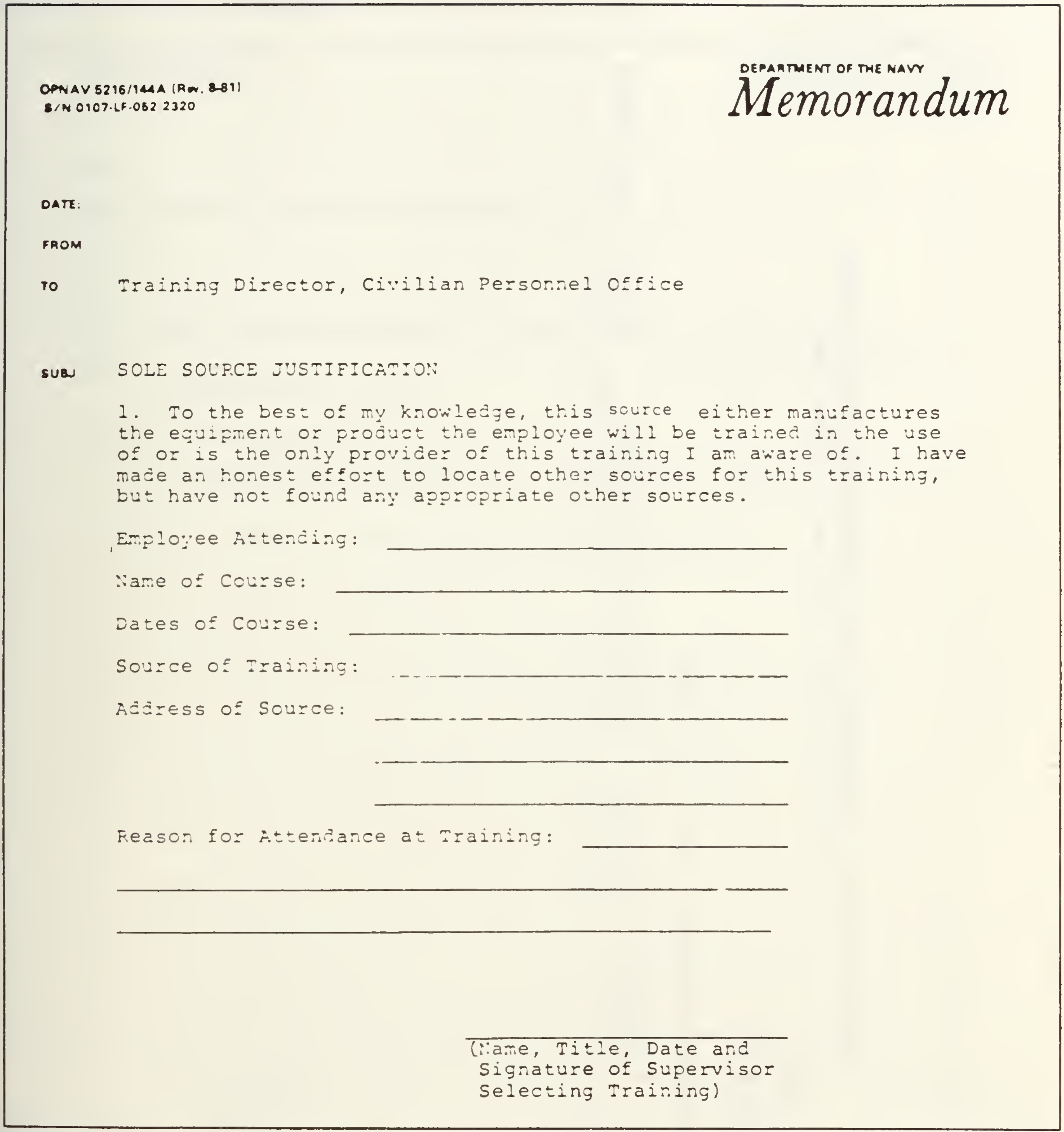
____
Source

____
Address of Source

____
Date(s) of Training

____

Figure 8.4 Waiver for Temporary and Intermittent Employees for Training in Non-Government Facilities



OPNAV 5216/144A (Rev. 8-81)
S/N 0107-LF-052 2320

DEPARTMENT OF THE NAVY
Memorandum

DATE:

FROM

TO Training Director, Civilian Personnel Office

SUBJ SOLE SOURCE JUSTIFICATION

1. To the best of my knowledge, this source either manufactures the equipment or product the employee will be trained in the use of or is the only provider of this training I am aware of. I have made an honest effort to locate other sources for this training, but have not found any appropriate other sources.

Employee Attending: ______________________________

Name of Course: ______________________________

Dates of Course: ______________________________

Source of Training: ______________________________

Address of Source: ______________________________
____
____

Reason for Attendance at Training: ______________
____
____

____
(Name, Title, Date and
Signature of Supervisor
Selecting Training)

Figure 8.5 Sole Source Justification

DOCUMENTATION OF COST - COMPARISON FOR TRAINING SOURCES (NON-GOVERNMENT SOURCES)

(IF TOTAL COSTS-TRAVEL & PER DIEM INC.-EXCEED $2000)

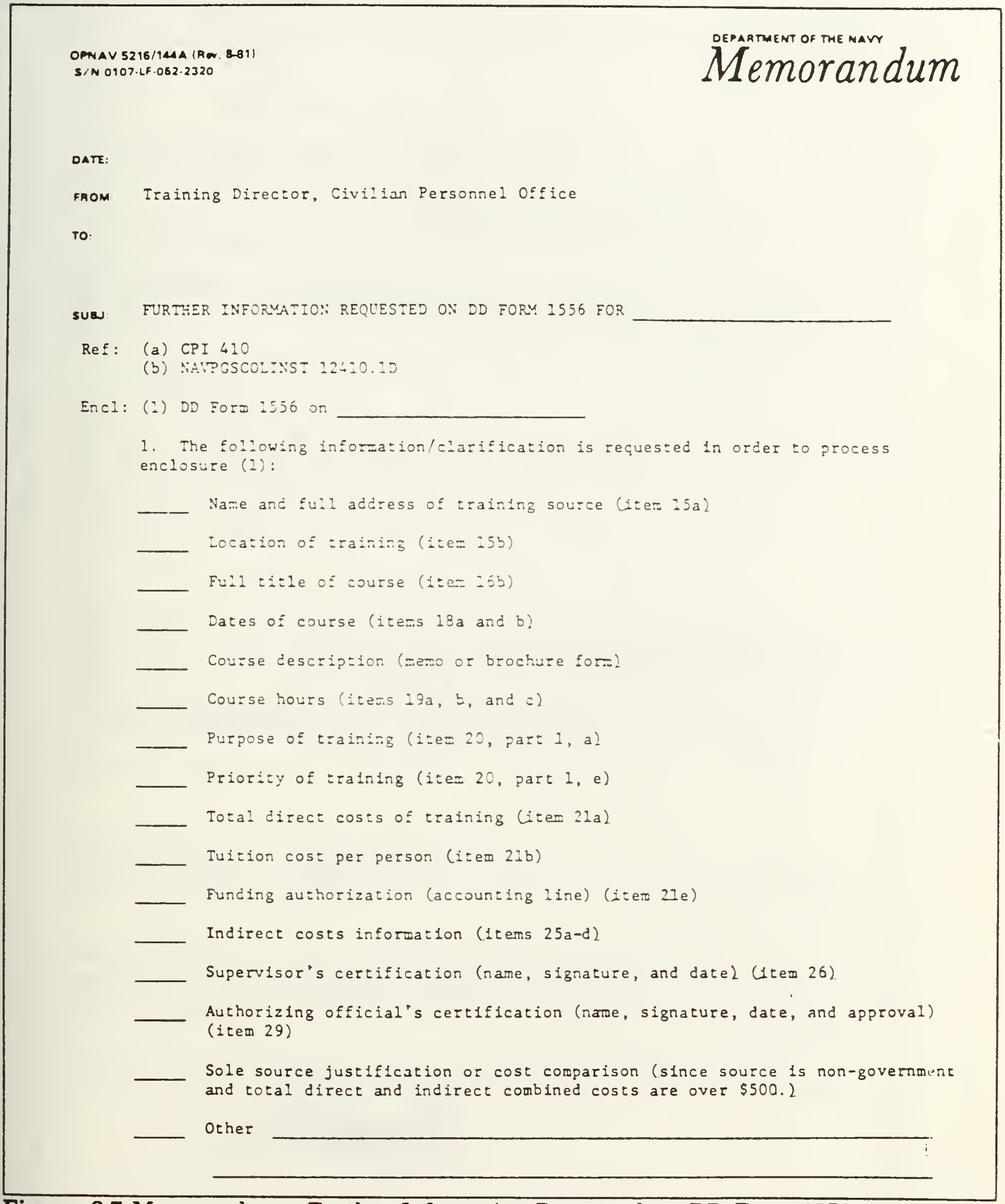
OBJECTIVE OF TRAINING:

SUGGESTED COURSE TITLE:

NOTE: WHEN COMPARING NON-GOVERNMENT SOURCES, USE AT LEAST 3!

	SOURCE NAME, ADDRESS AND PHONE NUMBER	LOCATION OF COURSE	DAYS OR HOURS OF COURSE LENGTH	COST OF COURSE PER PERSON	COST OF TRAVEL & PER DIEM PER PERSON	QUALITY OF TRAINING	OTHER COMMENTS
1.							
2.							
3.							
4.							
5.							

Figure 8.6 Comparison of Cost - Comparison for Training Sources (Non-Government Sources)



OPNAV 5216/144A (Rev. 8-81)
S/N 0107-LF-052-2320

DEPARTMENT OF THE NAVY
Memorandum

DATE:

FROM Training Director, Civilian Personnel Office

TO:

SUBJ: FURTHER INFORMATION REQUESTED ON DD FORM 1556 FOR ____________________

Ref: (a) CPI 410
(b) NAVPGSCOLINST 12410.1D

Encl: (1) DD Form 1556 on ____________________

1. The following information/clarification is requested in order to process enclosure (1):

_____ Name and full address of training source (item 15a)

_____ Location of training (item 15b)

_____ Full title of course (item 16b)

_____ Dates of course (items 18a and b)

_____ Course description (memo or brochure form)

_____ Course hours (items 19a, b, and c)

_____ Purpose of training (item 20, part 1, a)

_____ Priority of training (item 20, part 1, e)

_____ Total direct costs of training (item 21a)

_____ Tuition cost per person (item 21b)

_____ Funding authorization (accounting line) (item 21e)

_____ Indirect costs information (items 25a-d)

_____ Supervisor's certification (name, signature, and date) (item 26)

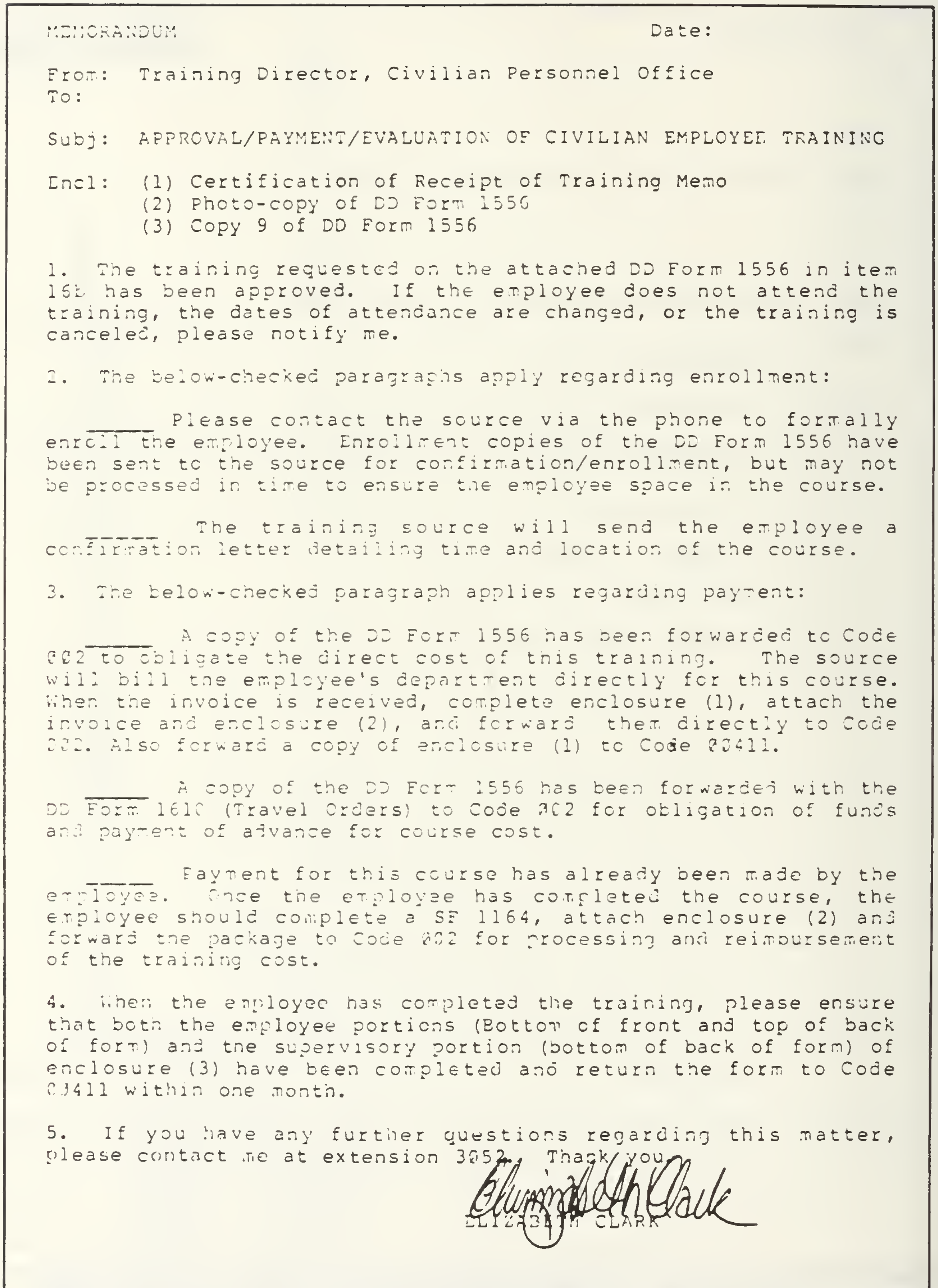
_____ Authorizing official's certification (name, signature, date, and approval) (item 29)

_____ Sole source justification or cost comparison (since source is non-government and total direct and indirect combined costs are over $500.)

_____ Other ____

____

Figure 8.7 Memorandum - Further Information Requested on DD Form 1556...



MEMORANDUM Date:

From: Training Director, Civilian Personnel Office
To:

Subj: APPROVAL/PAYMENT/EVALUATION OF CIVILIAN EMPLOYEE TRAINING

Encl: (1) Certification of Receipt of Training Memo
(2) Photo-copy of DD Form 1556
(3) Copy 9 of DD Form 1556

1. The training requested on the attached DD Form 1556 in item 16b has been approved. If the employee does not attend the training, the dates of attendance are changed, or the training is canceled, please notify me.

2. The below-checked paragraphs apply regarding enrollment:

______ Please contact the source via the phone to formally enroll the employee. Enrollment copies of the DD Form 1556 have been sent to the source for confirmation/enrollment, but may not be processed in time to ensure the employee space in the course.

______ The training source will send the employee a confirmation letter detailing time and location of the course.

3. The below-checked paragraph applies regarding payment:

______ A copy of the DD Form 1556 has been forwarded to Code 002 to obligate the direct cost of this training. The source will bill the employee's department directly for this course. When the invoice is received, complete enclosure (1), attach the invoice and enclosure (2), and forward them directly to Code 002. Also forward a copy of enclosure (1) to Code 03411.

______ A copy of the DD Form 1556 has been forwarded with the DD Form 1610 (Travel Orders) to Code 002 for obligation of funds and payment of advance for course cost.

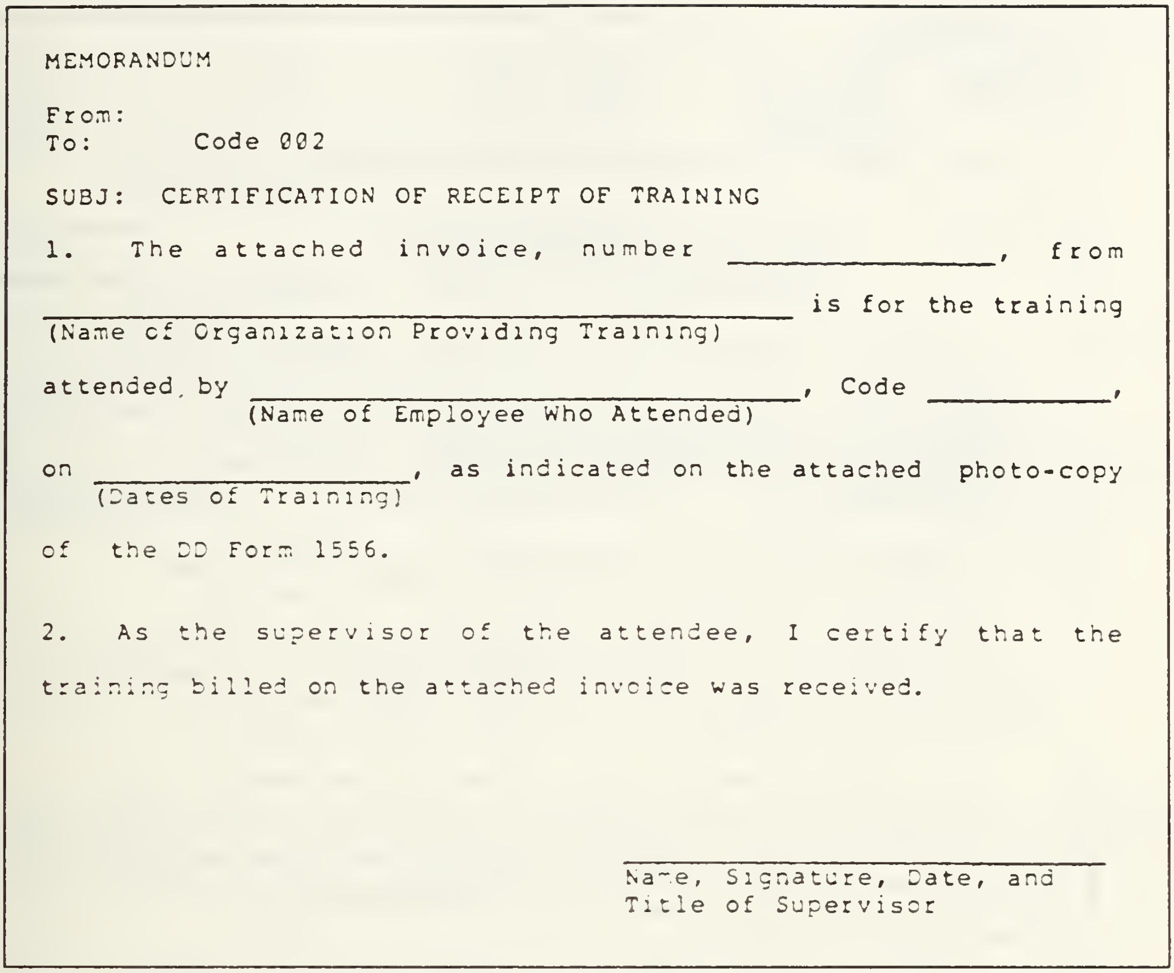
______ Payment for this course has already been made by the employee. Once the employee has completed the course, the employee should complete a SF 1164, attach enclosure (2) and forward the package to Code 002 for processing and reimbursement of the training cost.

4. When the employee has completed the training, please ensure that both the employee portions (Bottom of front and top of back of form) and the supervisory portion (bottom of back of form) of enclosure (3) have been completed and return the form to Code 03411 within one month.

5. If you have any further questions regarding this matter, please contact me at extension 3052. Thank you.

Elizabeth Clark
ELIZABETH CLARK

Figure 8.8 Approval/Payment/Evaluation of Civilian Employee Training



MEMORANDUM

From:
To: Code 002

SUBJ: CERTIFICATION OF RECEIPT OF TRAINING

1. The attached invoice, number ______________, from
____ is for the training
(Name of Organization Providing Training)

attended by ______________________________, Code __________,
(Name of Employee Who Attended)

on ________________, as indicated on the attached photo-copy
(Dates of Training)

of the DD Form 1556.

2. As the supervisor of the attendee, I certify that the training billed on the attached invoice was received.

____
Name, Signature, Date, and
Title of Supervisor

Figure 8.9 Memorandum - Certification of Receipt of Training

MEMORANDUM

From: Comptroller
To: Distribution

Subj: REQUEST FOR ADVANCE REGISTRATION FEES

Encl: (1) Sample of completed NAVCOMPT Form 2277 - Voucher for Disbursement and/or Collection
(2) Sample of completed SF 1164 - Claim for Reimbursement for Expenditures on Official Business

1. Advance registration fees for local workshops, seminars, classes, etc., of less than ten hours duration and involving only registration and no per diem are currently being obtained by completing a travel order form and subsequent travel claim/voucher to offset fund obligation. Technically, requirements for advance registration fees of this nature are not travel related.

2. Requests for advance registration fees meeting the requirements outlined above will be made as follows:

a. Submit a completed NAVCOMPT Form 2277, Voucher for Disbursement and/or Collection, per encl (1), with two copies of Form DD 1556 (Request, Authorization, Agreement, Certification of Training and Reimbursement) to Comptroller, Code 002.

b. Pick up check at PSD 3 days prior to required date.

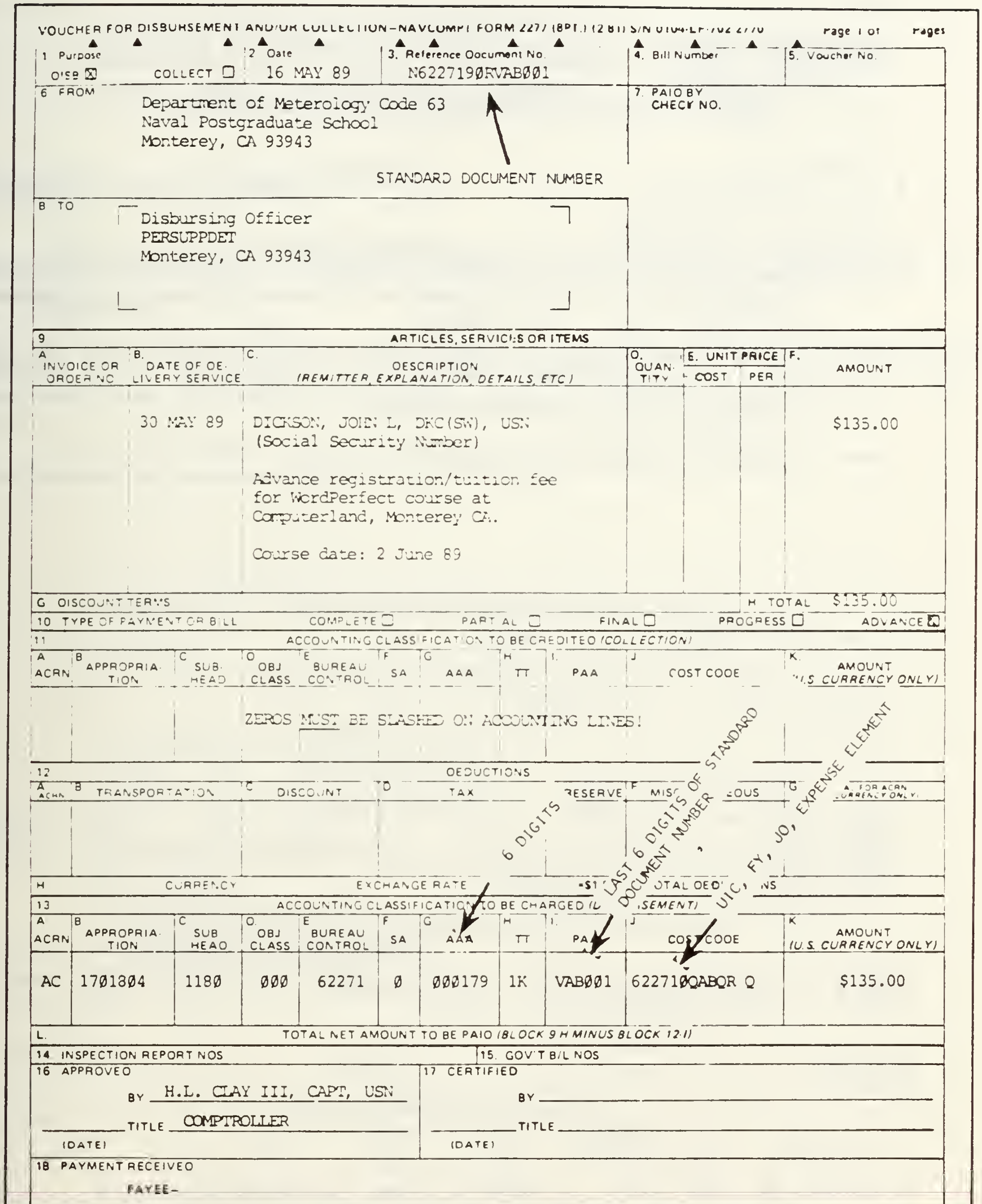
3. Liquidation of the advance will be accomplished by submitting a completed SF 1164, Claim for Reimbursement, per encl (2), with an original and one copy of paid receipt and certification of course completion (or letter from Civilian Personnel Office) to Comptroller, Code 002.

4. Settlement of advance against Form 2277 will be monitored the same as an advance on a travel order.

H. L. CLAY III

Distribution:
NAVPGSCOLINST 5605.2M List 1
(Less B-12, C-6, F-5, F-6, F-9,
F-11 thru F-13)

Figure 8.10 Memorandum - Request for Advance Registration Fees



VOUCHER FOR DISBURSEMENT AND/OR COLLECTION–NAVCOMPT FORM 2277 (8PT.) (2 81) S/N 0104-LF-702 2770 Page 1 of Pages

1 Purpose DISB ☒ COLLECT ☐

2 Date 16 MAY 89

3. Reference Document No. N6227190RVAB001

4. Bill Number

5. Voucher No.

6 FROM
Department of Meterology Code 63
Naval Postgraduate School
Monterey, CA 93943

STANDARD DOCUMENT NUMBER

7. PAID BY
CHECK NO.

8 TO
Disbursing Officer
PERSUPPDET
Monterey, CA 93943

9 ARTICLES, SERVICES OR ITEMS

A. INVOICE OR ORDER NO.	B. DATE OF DELIVERY SERVICE	C. DESCRIPTION (REMITTER, EXPLANATION, DETAILS, ETC.)	D. QUANTITY	E. UNIT PRICE COST	E. UNIT PRICE PER	F. AMOUNT
	30 MAY 89	DICKSON, JOHN L, DKC(SW), USN (Social Security Number) Advance registration/tuition fee for WordPerfect course at Computerland, Monterey CA. Course date: 2 June 89				$135.00

G DISCOUNT TERMS

H TOTAL $135.00

10 TYPE OF PAYMENT OR BILL COMPLETE ☐ PARTIAL ☐ FINAL ☐ PROGRESS ☐ ADVANCE ☒

11 ACCOUNTING CLASSIFICATION TO BE CREDITED (COLLECTION)

A ACRN	B APPROPRIATION	C SUB-HEAD	D OBJ CLASS	E BUREAU CONTROL	F SA	G AAA	H TT	I. PAA	J COST CODE	K. AMOUNT (U.S. CURRENCY ONLY)

ZEROS MUST BE SLASHED ON ACCOUNTING LINES!

12 DEDUCTIONS

A ACRN	B TRANSPORTATION	C DISCOUNT	D TAX	E RESERVE	F MISCELLANEOUS	G (FOR ACRN CURRENCY ONLY)

H CURRENCY EXCHANGE RATE =$1 TOTAL DEDUCTIONS

6 DIGITS

LAST 6 DIGITS OF STANDARD DOCUMENT NUMBER

UIC, FY, JO, EXPENSE ELEMENT

13 ACCOUNTING CLASSIFICATION TO BE CHARGED (DISBURSEMENT)

A ACRN	B APPROPRIATION	C SUB HEAD	D. OBJ CLASS	E BUREAU CONTROL	F SA	G AAA	H TT	I. PAA	J COST CODE	K AMOUNT (U.S. CURRENCY ONLY)
AC	1701804	1180	000	62271	0	000179	1K	VAB001	622710QABQR Q	$135.00

L. TOTAL NET AMOUNT TO BE PAID (BLOCK 9 H MINUS BLOCK 12 I)

14 INSPECTION REPORT NOS

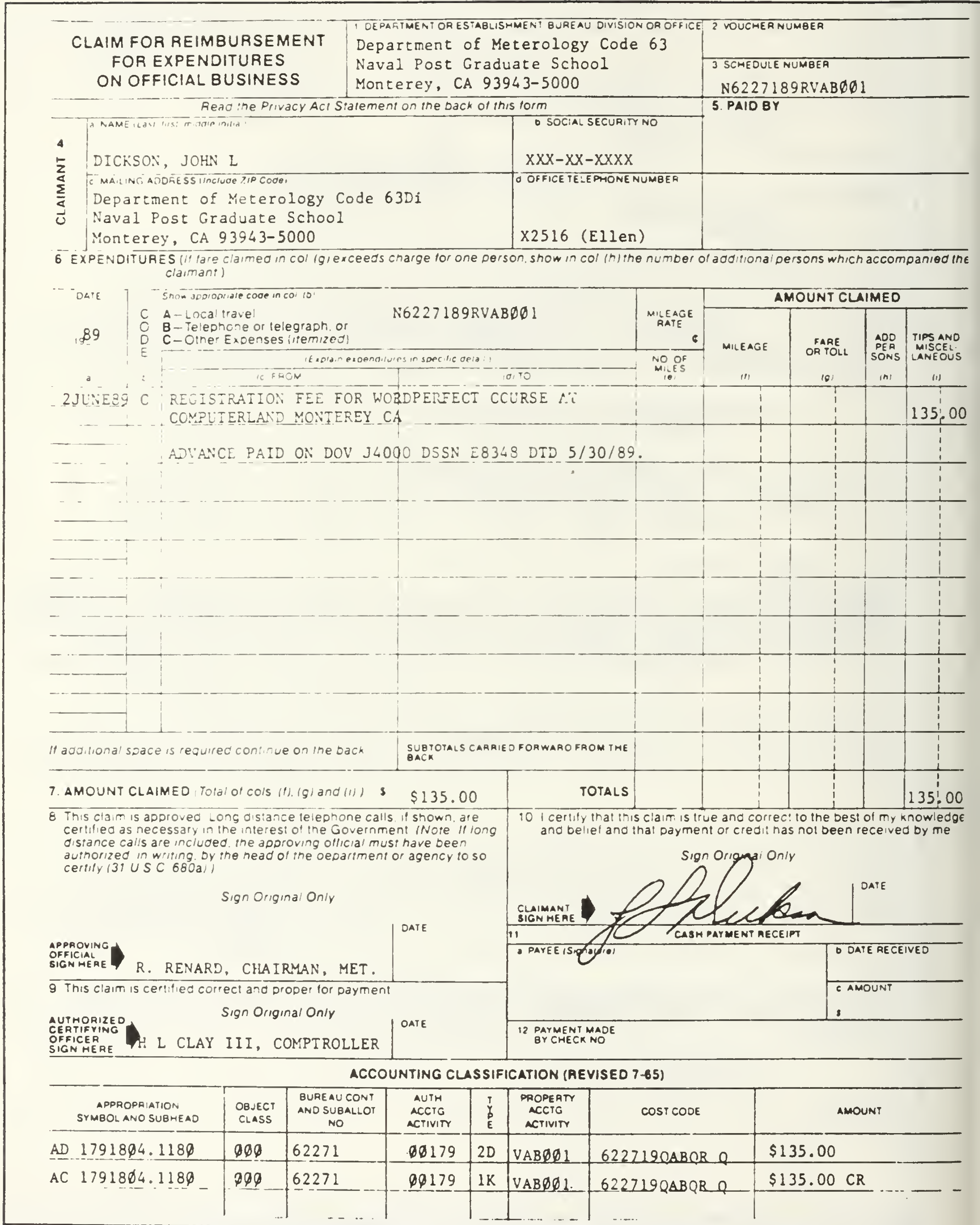
15. GOV'T B/L NOS

16 APPROVED
BY H.L. CLAY III, CAPT, USN
TITLE COMPTROLLER
(DATE)

17 CERTIFIED
BY
TITLE
(DATE)

18 PAYMENT RECEIVED
PAYEE–
PER–
TITLE–

Figure 8.11 NAVCOMPT Form 2277: Advance Registration Fees



CLAIM FOR REIMBURSEMENT FOR EXPENDITURES ON OFFICIAL BUSINESS

1 DEPARTMENT OR ESTABLISHMENT BUREAU DIVISION OR OFFICE
Department of Meterology Code 63
Naval Post Graduate School
Monterey, CA 93943-5000

2 VOUCHER NUMBER

3 SCHEDULE NUMBER
N6227189RVAB001

Read the Privacy Act Statement on the back of this form

5. PAID BY

4 CLAIMANT

a NAME (Last, first, middle initial)
DICKSON, JOHN L

b SOCIAL SECURITY NO
XXX-XX-XXXX

c MAILING ADDRESS (Include ZIP Code)
Department of Meterology Code 63Di
Naval Post Graduate School
Monterey, CA 93943-5000

d OFFICE TELEPHONE NUMBER
X2516 (Ellen)

6 EXPENDITURES (If fare claimed in col (g) exceeds charge for one person, show in col (h) the number of additional persons which accompanied the claimant.)

Show appropriate code in col (b):
A—Local travel
B—Telephone or telegraph, or
C—Other Expenses (itemized)

N6227189RVAB001

DATE 1989 a	CODE b	(Explain expenditures in specific detail) (c) FROM	(d) TO	MILEAGE RATE ¢ NO OF MILES (e)	MILEAGE (f)	FARE OR TOLL (g)	ADD PER SONS (h)	TIPS AND MISCEL-LANEOUS (i)
2JUNE89	C	REGISTRATION FEE FOR WORDPERFECT COURSE AT COMPUTERLAND MONTEREY CA						135.00
		ADVANCE PAID ON DOV J4000 DSSN E8348 DTD 5/30/89.						
If additional space is required continue on the back			SUBTOTALS CARRIED FORWARD FROM THE BACK					
			TOTALS					135.00

7. AMOUNT CLAIMED (Total of cols (f), (g) and (i)) $ $135.00

8 This claim is approved. Long distance telephone calls, if shown, are certified as necessary in the interest of the Government. (Note: If long distance calls are included, the approving official must have been authorized in writing, by the head of the department or agency to so certify (31 U S C 680a).)

Sign Original Only

APPROVING OFFICIAL SIGN HERE R. RENARD, CHAIRMAN, MET.

DATE

9 This claim is certified correct and proper for payment

Sign Original Only

AUTHORIZED CERTIFYING OFFICER SIGN HERE H L CLAY III, COMPTROLLER

DATE

10 I certify that this claim is true and correct to the best of my knowledge and belief and that payment or credit has not been received by me

Sign Original Only

CLAIMANT SIGN HERE

DATE

11 CASH PAYMENT RECEIPT

a PAYEE (Signature)

b DATE RECEIVED

c AMOUNT $

12 PAYMENT MADE BY CHECK NO

ACCOUNTING CLASSIFICATION (REVISED 7-65)

APPROPRIATION SYMBOL AND SUBHEAD	OBJECT CLASS	BUREAU CONT AND SUBALLOT NO	AUTH ACCTG ACTIVITY	TYPE	PROPERTY ACCTG ACTIVITY	COST CODE	AMOUNT
AD 1791804.1180	000	62271	00179	2D	VAB001	622719QABQR Q	$135.00
AC 1791804.1180	000	62271	00179	1K	VAB001	622719QABQR Q	$135.00 CR

Figure 8.12 SF 1164: Advance Registration Fees

CHAPTER 9

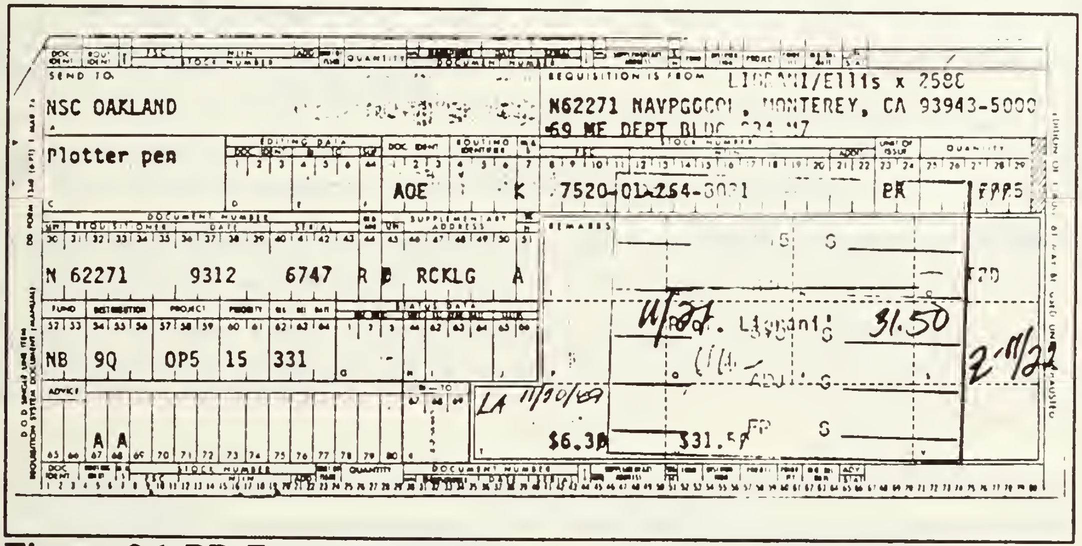
DOCUMENT PREPARATION WITH REIMBURSABLE FUNDS

General Information.

There is little difference in the make up of accounting data on documents for direct and reimbursable funds. The primary difference is that all reimbursable job order numbers begin with the letter "R" to distinguish them from direct funds.

The job order number for a reimbursable account (assigned by the Comptroller) may be found on the "Granting of Funding Authorization" (Figure 3.6), which is sent to the cost center when authorization to obligate reimbursable funds is approved.

Figure 9.1 through 9.7 provide representative samples of documents using reimbursable fund account data.



SEND TO
NSC OAKLAND

REQUISITION IS FROM [illegible]/Ellis x 2580
N62271 NAVPGSCOL, MONTEREY, CA 93943-5000
69 ME DEPT BLDG [illegible]

Plotter pen

DOC IDENT: AOE
K
STOCK NUMBER: 7520-01-264-3[illegible]1
UNIT OF ISSUE: PK

DOCUMENT NUMBER: N 62271 9312 6747
R RCKLG A

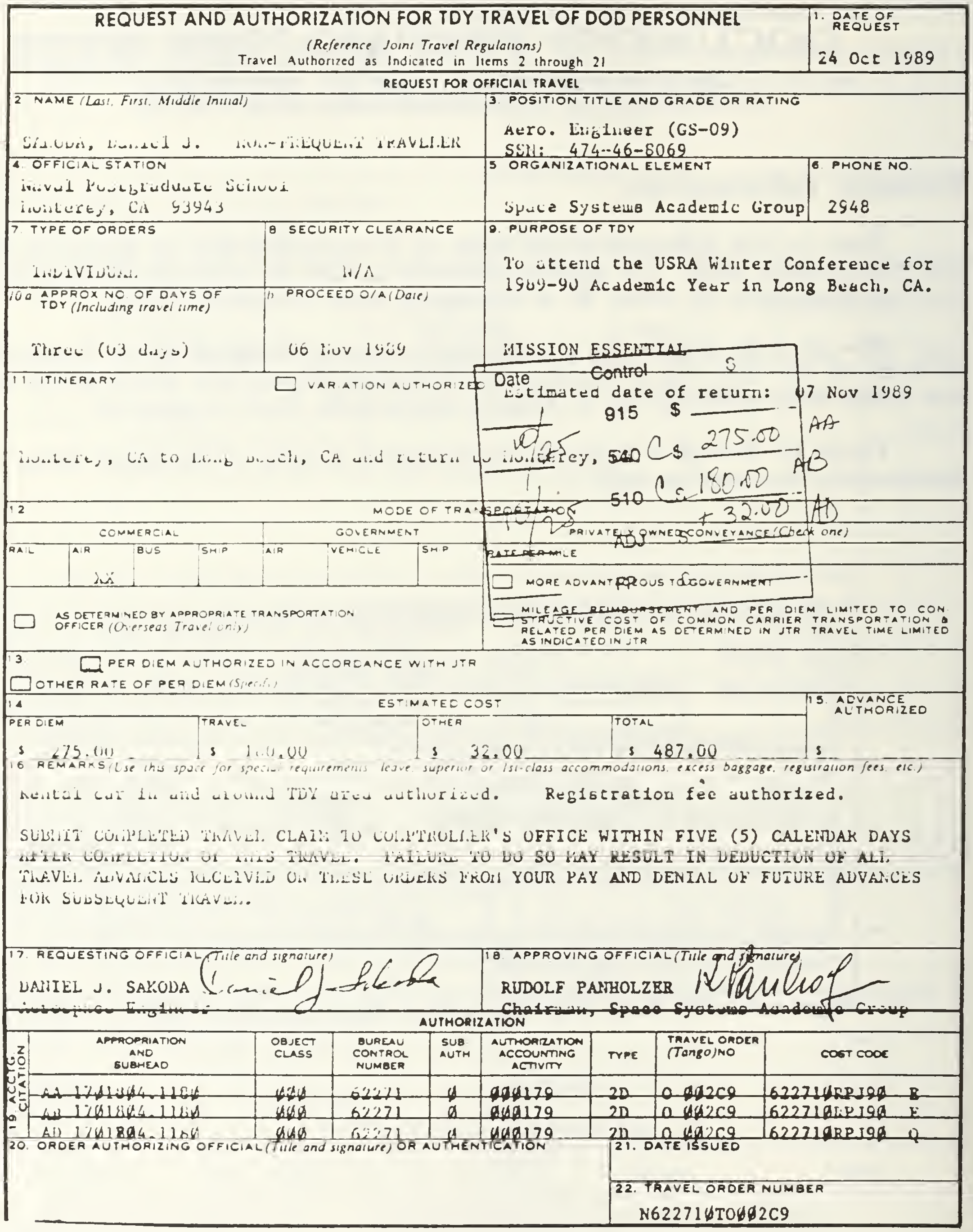
FUND: NB
DISTRIBUTION: 9Q
PROJECT: OP5
PRIORITY: 15
331

ADVICE: A A

LA 11/30/89
$6.30
$31.50

Ligrani 31.50
2-11/22

Figure 9.1 DD Form 1348 Requisition (Reimbursable Funds)



REQUEST AND AUTHORIZATION FOR TDY TRAVEL OF DOD PERSONNEL

(Reference Joint Travel Regulations)
Travel Authorized as Indicated in Items 2 through 21

1. DATE OF REQUEST: 24 Oct 1989

REQUEST FOR OFFICIAL TRAVEL

2 NAME *(Last, First, Middle Initial)*: SAKODA, Daniel J. NON-FREQUENT TRAVELER

3. POSITION TITLE AND GRADE OR RATING: Aero. Engineer (GS-09) SSN: 474-46-8069

4. OFFICIAL STATION:
Naval Postgraduate School
Monterey, CA 93943

5 ORGANIZATIONAL ELEMENT: Space Systems Academic Group

6. PHONE NO.: 2948

7. TYPE OF ORDERS: INDIVIDUAL

8 SECURITY CLEARANCE: N/A

9. PURPOSE OF TDY: To attend the USRA Winter Conference for 1989-90 Academic Year in Long Beach, CA.

MISSION ESSENTIAL

Estimated date of return: 07 Nov 1989

10a APPROX NO. OF DAYS OF TDY *(Including travel time)*: Three (03 days)

b PROCEED O/A *(Date)*: 06 Nov 1989

11. ITINERARY ☐ VARIATION AUTHORIZED

Monterey, CA to Long Beach, CA and return to Monterey, CA.

Date: 10/25
Control
915 $
540 C$ 275.00 AA
510 C$ 180.00 AB
+ 32.00 AD
10/25
ADJ $
PR $

12 MODE OF TRANSPORTATION

COMMERCIAL				GOVERNMENT		
RAIL	AIR	BUS	SHIP	AIR	VEHICLE	SHIP
	XX					

☐ AS DETERMINED BY APPROPRIATE TRANSPORTATION OFFICER *(Overseas Travel only)*

PRIVATELY OWNED CONVEYANCE *(Check one)*

RATE PER MILE

☐ MORE ADVANTAGEOUS TO GOVERNMENT

☐ MILEAGE REIMBURSEMENT AND PER DIEM LIMITED TO CONSTRUCTIVE COST OF COMMON CARRIER TRANSPORTATION & RELATED PER DIEM AS DETERMINED IN JTR TRAVEL TIME LIMITED AS INDICATED IN JTR

13. ☐ PER DIEM AUTHORIZED IN ACCORDANCE WITH JTR

☐ OTHER RATE OF PER DIEM *(Specify)*

14 ESTIMATED COST

PER DIEM	TRAVEL	OTHER	TOTAL
$ 275.00	$ 180.00	$ 32.00	$ 487.00

15. ADVANCE AUTHORIZED: $

16 REMARKS *(Use this space for special requirements, leave, superior or 1st-class accommodations, excess baggage, registration fees, etc.)*

Rental car in and around TDY area authorized. Registration fee authorized.

SUBMIT COMPLETED TRAVEL CLAIM TO COMPTROLLER'S OFFICE WITHIN FIVE (5) CALENDAR DAYS AFTER COMPLETION OF THIS TRAVEL. FAILURE TO DO SO MAY RESULT IN DEDUCTION OF ALL TRAVEL ADVANCES RECEIVED ON THESE ORDERS FROM YOUR PAY AND DENIAL OF FUTURE ADVANCES FOR SUBSEQUENT TRAVEL.

17. REQUESTING OFFICIAL *(Title and signature)*: DANIEL J. SAKODA Daniel J. Sakoda
Aerospace Engineer

18. APPROVING OFFICIAL *(Title and signature)*: RUDOLF PANHOLZER R Panholzer
Chairman, Space Systems Academic Group

AUTHORIZATION

19. ACCTG. CITATION

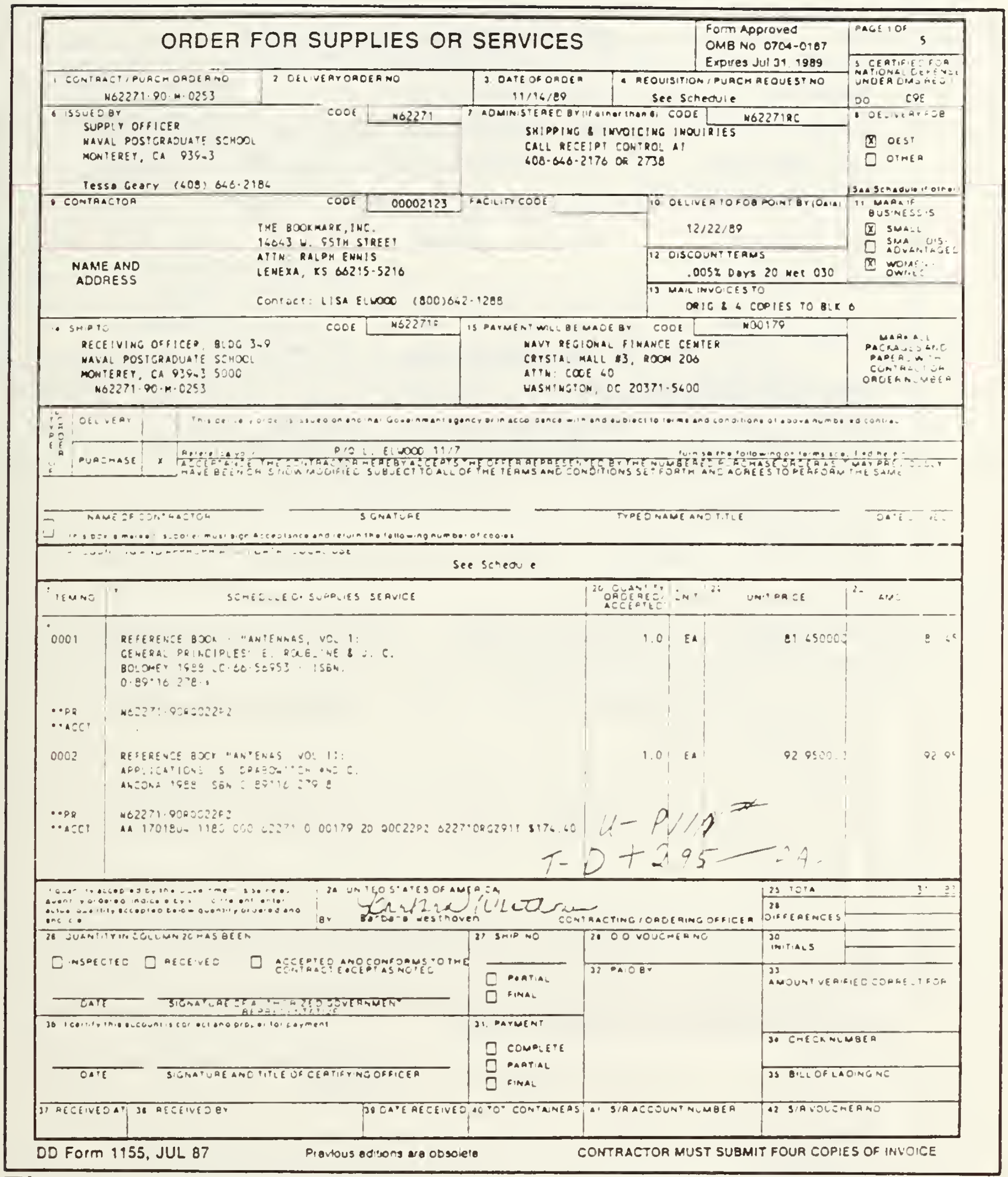
APPROPRIATION AND SUBHEAD	OBJECT CLASS	BUREAU CONTROL NUMBER	SUB AUTH	AUTHORIZATION ACCOUNTING ACTIVITY	TYPE	TRAVEL ORDER *(Tango)* NO	COST CODE	
AA 1701804.1180	000	62271	0	000179	2D	0 002C9	622710RPJ90	B
AB 1701804.1180	000	62271	0	000179	2D	0 002C9	622710RPJ90	E
AD 1701804.1180	000	62271	0	000179	2D	0 002C9	622710RPJ90	Q

20. ORDER AUTHORIZING OFFICIAL *(Title and signature)* OR AUTHENTICATION

21. DATE ISSUED

22. TRAVEL ORDER NUMBER: N622710T0002C9

Figure 9.2 DD Form 1610 DOD Civilian Personnel Travel Orders (Reimbursable Funds)



ORDER FOR SUPPLIES OR SERVICES

Form Approved
OMB No 0704-0187
Expires Jul 31, 1989

PAGE 1 OF 5

1 CONTRACT/PURCH ORDER NO: N62271-90-M-0253
2 DELIVERY ORDER NO:
3 DATE OF ORDER: 11/14/89
4 REQUISITION/PURCH REQUEST NO: See Schedule
5 CERTIFIED FOR NATIONAL DEFENSE UNDER DMS REG: DO C9E

6 ISSUED BY CODE N62271
SUPPLY OFFICER
NAVAL POSTGRADUATE SCHOOL
MONTEREY, CA 93943

Tessa Geary (408) 646-2184

7 ADMINISTERED BY (if other than 6) CODE N62271RC
SHIPPING & INVOICING INQUIRIES
CALL RECEIPT CONTROL AT
408-646-2176 OR 2738

8 DELIVERY FOB
☒ DEST
☐ OTHER
See Schedule if other

9 CONTRACTOR CODE 00002123 FACILITY CODE

NAME AND ADDRESS
THE BOOKMARK, INC.
14643 W. 95TH STREET
ATTN: RALPH ENNIS
LENEXA, KS 66215-5216

Contact: LISA ELWOOD (800)642-1288

10 DELIVER TO FOB POINT BY (Date): 12/22/89
11 MARK IF BUSINESS IS
☒ SMALL
☐ SMALL DISADVANTAGED
☒ WOMEN-OWNED
12 DISCOUNT TERMS: .005% Days 20 Net 030
13 MAIL INVOICES TO: ORIG & 4 COPIES TO BLK 6

14 SHIP TO CODE N62271F
RECEIVING OFFICER, BLDG 349
NAVAL POSTGRADUATE SCHOOL
MONTEREY, CA 93943 5000
N62271-90-M-0253

15 PAYMENT WILL BE MADE BY CODE N00179
NAVY REGIONAL FINANCE CENTER
CRYSTAL MALL #3, ROOM 206
ATTN: CODE 40
WASHINGTON, DC 20371-5400

MARK ALL PACKAGES AND PAPERS WITH CONTRACT OR ORDER NUMBER

16 TYPE OF ORDER
DELIVERY — This delivery order is issued on another Government agency or in accordance with and subject to terms and conditions of above numbered contract.
PURCHASE X — Reference your P/O L. ELWOOD 11/7 furnish the following on terms specified herein.
ACCEPTANCE. THE CONTRACTOR HEREBY ACCEPTS THE OFFER REPRESENTED BY THE NUMBERED PURCHASE ORDER AS IT MAY PREVIOUSLY HAVE BEEN OR IS NOW MODIFIED, SUBJECT TO ALL OF THE TERMS AND CONDITIONS SET FORTH, AND AGREES TO PERFORM THE SAME.

NAME OF CONTRACTOR — SIGNATURE — TYPED NAME AND TITLE — DATE SIGNED

☐ If this box is marked, supplier must sign Acceptance and return the following number of copies:

17 ACCOUNTING AND APPROPRIATION DATA/LOCAL USE
See Schedule

18 ITEM NO	19 SCHEDULE OF SUPPLIES/SERVICE	20 QUANTITY ORDERED/ACCEPTED	21 UNIT	22 UNIT PRICE	23 AMOUNT
0001	REFERENCE BOOK - "ANTENNAS, VOL 1: GENERAL PRINCIPLES" E. ROUBINE & J. C. BOLOMEY 1989 LC-86-56953 - ISBN. 0-89116-278-[illegible]	1.0	EA	81.450000	8 45
**PR	N62271-90R0022P2				
**ACCT					
0002	REFERENCE BOOK "ANTENNAS" VOL II: APPLICATIONS" S. DRABOWITCH AND C. ANCONA 1988 ISBN 0 89116 279 8	1.0	EA	92.950000	92 95
**PR	N62271-90R0022P2				
**ACCT	AA 1701804 1183 000 62271 0 00179 20 0022P2 62271ORG2911 $174.40	U- PV/A # T-D + 295 — 2A.			

If quantity accepted by the Government is same as quantity ordered, indicate by X. If different, enter actual quantity accepted below quantity ordered and encircle.

24 UNITED STATES OF AMERICA
BY Barbara Westhoven CONTRACTING/ORDERING OFFICER

25 TOTAL [illegible]
29 DIFFERENCES

26 QUANTITY IN COLUMN 20 HAS BEEN
☐ INSPECTED ☐ RECEIVED ☐ ACCEPTED AND CONFORMS TO THE CONTRACT EXCEPT AS NOTED
DATE — SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE

27 SHIP NO
☐ PARTIAL
☐ FINAL

28 D O VOUCHER NO
30 INITIALS
32 PAID BY
33 AMOUNT VERIFIED CORRECT FOR

36 I certify this account is correct and proper for payment
DATE — SIGNATURE AND TITLE OF CERTIFYING OFFICER

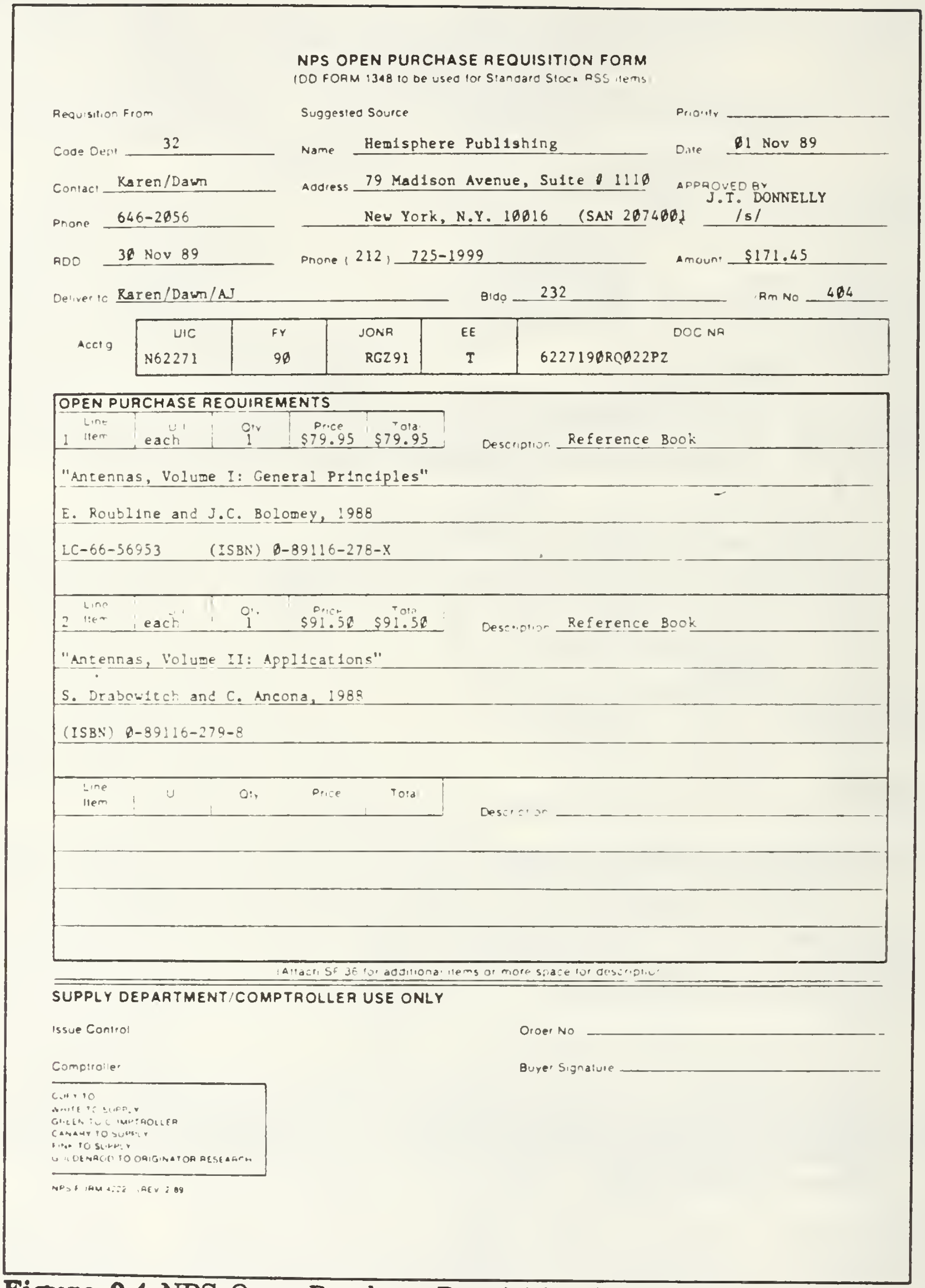
31 PAYMENT
☐ COMPLETE
☐ PARTIAL
☐ FINAL

34 CHECK NUMBER
35 BILL OF LADING NO

37 RECEIVED AT
38 RECEIVED BY
39 DATE RECEIVED
40 TOTAL CONTAINERS
41 S/R ACCOUNT NUMBER
42 S/R VOUCHER NO

DD Form 1155, JUL 87 — Previous editions are obsolete — CONTRACTOR MUST SUBMIT FOUR COPIES OF INVOICE

Figure 9.3 DD Form 1155 - Order for Supplies or Services (Reimbursable Funds)



NPS OPEN PURCHASE REQUISITION FORM
(DD FORM 1348 to be used for Standard Stock RSS items)

Requisition From
Code Dept 32
Contact Karen/Dawn
Phone 646-2056
RDD 30 Nov 89

Suggested Source
Name Hemisphere Publishing
Address 79 Madison Avenue, Suite 0 1110
New York, N.Y. 10016 (SAN 2074001)
Phone (212) 725-1999

Priority
Date 01 Nov 89
APPROVED BY J.T. DONNELLY /s/
Amount $171.45

Deliver to Karen/Dawn/AJ
Bldg 232
Rm No 404

Acct g	UIC	FY	JONR	EE	DOC NR
	N62271	90	RGZ91	T	6227190RQ022PZ

OPEN PURCHASE REQUIREMENTS

Line Item	U I	Qty	Price	Total
1	each	1	$79.95	$79.95

Description Reference Book

"Antennas, Volume I: General Principles"

E. Roubline and J.C. Bolomey, 1988

LC-66-56953 (ISBN) 0-89116-278-X

Line Item	U I	Qty	Price	Total
2	each	1	$91.50	$91.50

Description Reference Book

"Antennas, Volume II: Applications"

S. Drabowitch and C. Ancona, 1988

(ISBN) 0-89116-279-8

Line Item	U I	Qty	Price	Total

Description

(Attach SF 36 for additional items or more space for description)

SUPPLY DEPARTMENT/COMPTROLLER USE ONLY

Issue Control

Order No

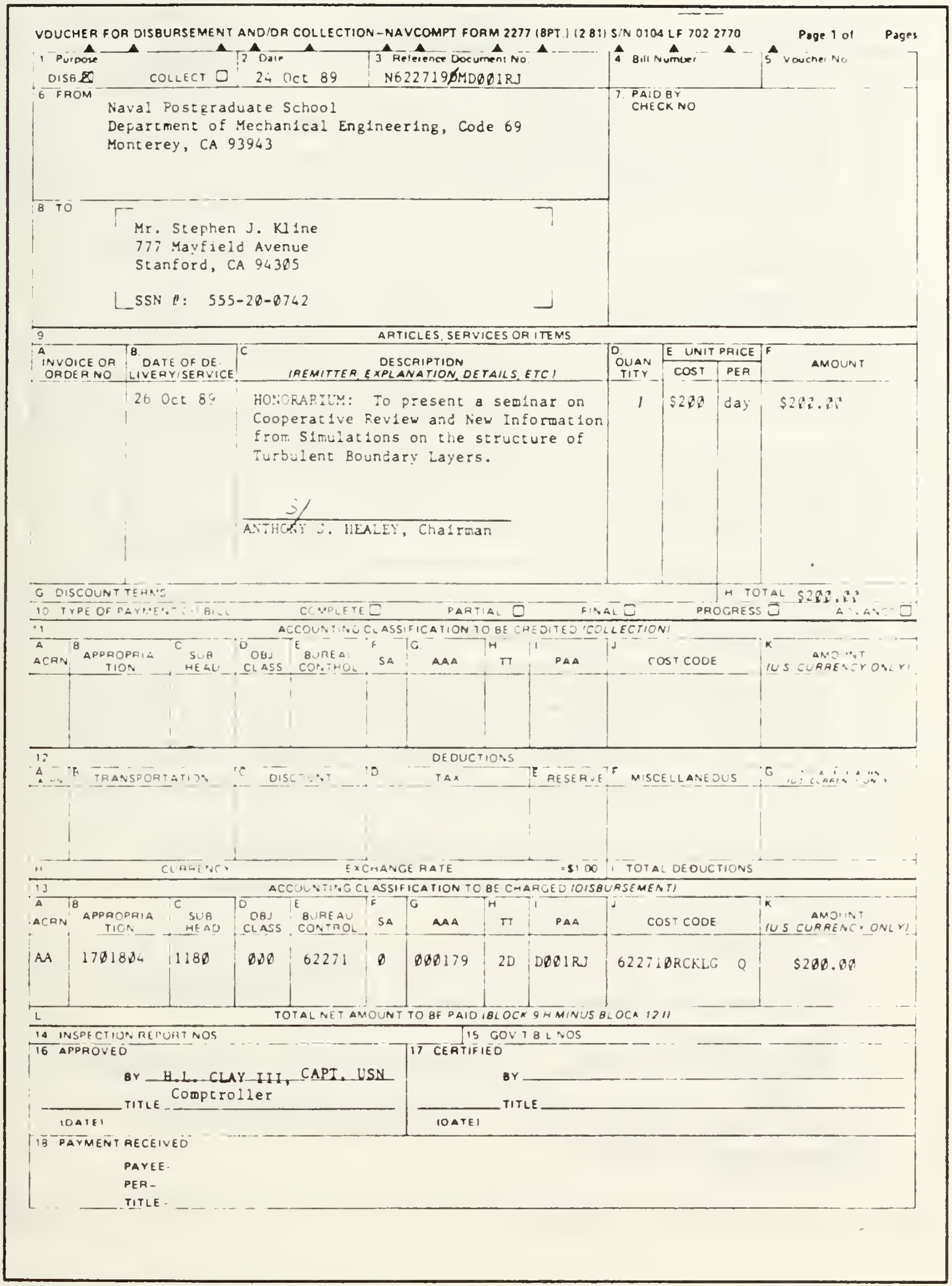
Comptroller

Buyer Signature

COPY TO
WHITE TO SUPPLY
GREEN TO COMPTROLLER
CANARY TO SUPPLY
PINK TO SUPPLY
GOLDENROD TO ORIGINATOR RESEARCH

NPS FORM 4222 (REV 2 89)

Figure 9.4 NPS Open Purchase Requisition Form (Reimbursable Funds)



VOUCHER FOR DISBURSEMENT AND/OR COLLECTION–NAVCOMPT FORM 2277 (8PT.) (2 81) S/N 0104 LF 702 2770

Page 1 of Pages

1 Purpose DISB ☒ COLLECT ☐	2 Date 24 Oct 89	3 Reference Document No. N6227190MD001RJ	4 Bill Number	5 Voucher No

6 FROM

Naval Postgraduate School
Department of Mechanical Engineering, Code 69
Monterey, CA 93943

7. PAID BY CHECK NO

8 TO

Mr. Stephen J. Kline
777 Mayfield Avenue
Stanford, CA 94305

SSN #: 555-20-0742

9 ARTICLES, SERVICES OR ITEMS

A INVOICE OR ORDER NO	B. DATE OF DELIVERY/SERVICE	C DESCRIPTION (REMITTER, EXPLANATION, DETAILS, ETC.)	D. QUANTITY	E UNIT PRICE COST	E UNIT PRICE PER	F AMOUNT
	26 Oct 89	HONORARIUM: To present a seminar on Cooperative Review and New Information from Simulations on the structure of Turbulent Boundary Layers. S/ ANTHONY J. HEALEY, Chairman	1	$200	day	$200.00

G DISCOUNT TERMS

H TOTAL $200.00

10 TYPE OF PAYMENT OR BILL COMPLETE ☐ PARTIAL ☐ FINAL ☐ PROGRESS ☐ ADVANCE ☐

11 ACCOUNTING CLASSIFICATION TO BE CREDITED (COLLECTION)

A ACRN	B APPROPRIATION	C SUB HEAD	D OBJ CLASS	E BUREAU CONTROL	F SA	G. AAA	H TT	I PAA	J COST CODE	K AMOUNT (U.S. CURRENCY ONLY)

12 DEDUCTIONS

A	B TRANSPORTATION	C DISCOUNT	D TAX	E RESERVE	F MISCELLANEOUS	G [illegible] (U.S. CURRENCY ONLY)

H CURRENCY EXCHANGE RATE =$1.00

I TOTAL DEDUCTIONS

13 ACCOUNTING CLASSIFICATION TO BE CHARGED (DISBURSEMENT)

A ACRN	B APPROPRIATION	C SUB HEAD	D OBJ CLASS	E BUREAU CONTROL	F SA	G AAA	H TT	I PAA	J COST CODE	K AMOUNT (U.S. CURRENCY ONLY)
AA	1701804	1180	000	62271	0	000179	2D	D001RJ	622710RCKLG Q	$200.00

L TOTAL NET AMOUNT TO BE PAID (BLOCK 9 H MINUS BLOCK 12 I)

14 INSPECTION REPORT NOS

15 GOV T B L NOS

16 APPROVED

BY H.L. CLAY III, CAPT. USN
TITLE Comptroller
(DATE)

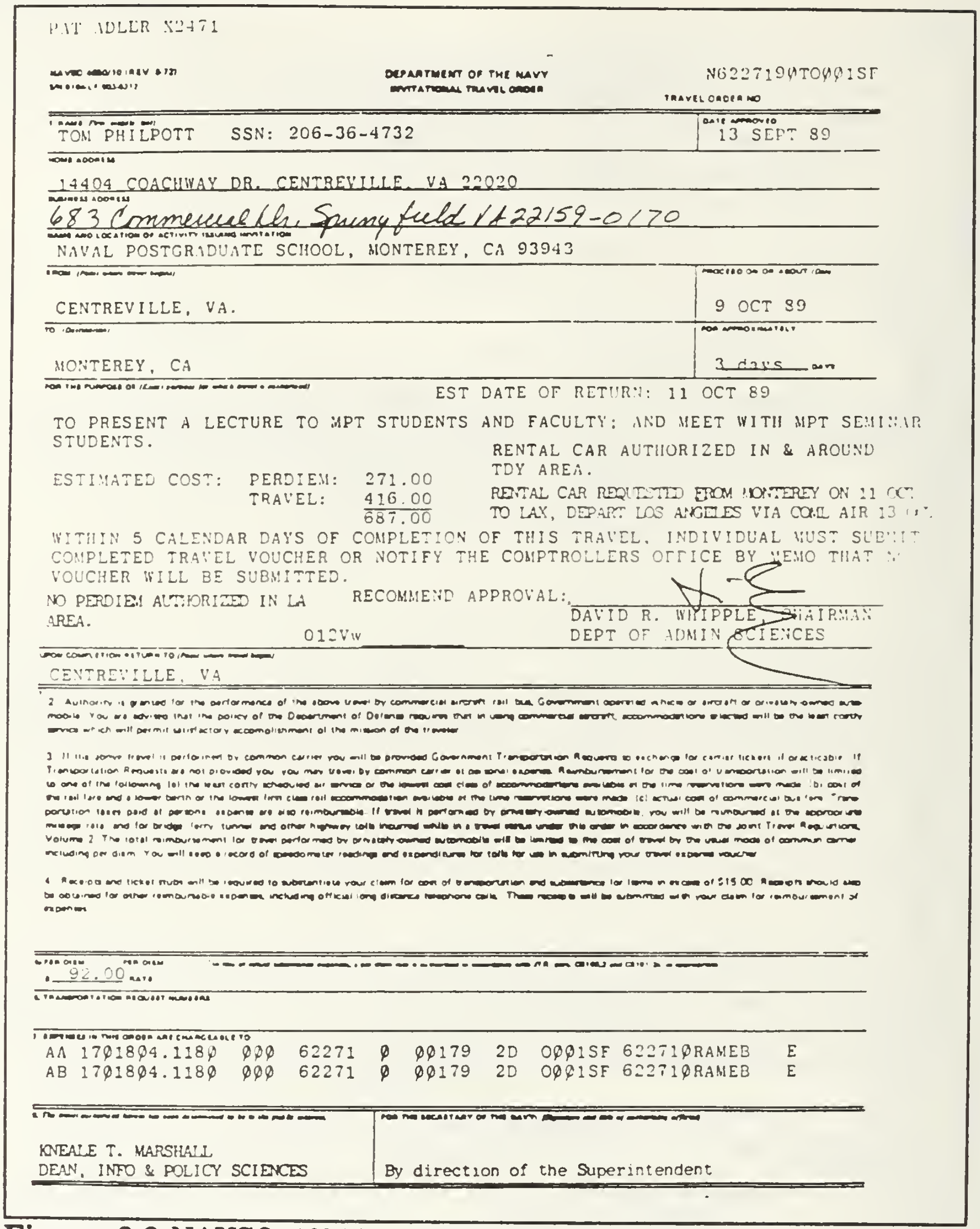
17 CERTIFIED

BY
TITLE
(DATE)

18 PAYMENT RECEIVED

PAYEE-
PER-
TITLE-

Figure 9.5 NAVCOMPT Form 2277 - Voucher for Disbursement/Collection (Reimbursable Funds)



PAT ADLER X2471

DEPARTMENT OF THE NAVY
INVITATIONAL TRAVEL ORDER

N6227190TO001SF
TRAVEL ORDER NO

TOM PHILPOTT SSN: 206-36-4732

DATE APPROVED
13 SEPT 89

HOME ADDRESS
14404 COACHWAY DR. CENTREVILLE, VA 22020

BUSINESS ADDRESS
683 Commonwealth Dr. Springfield VA 22159-0170

NAME AND LOCATION OF ACTIVITY ISSUING INVITATION
NAVAL POSTGRADUATE SCHOOL, MONTEREY, CA 93943

FROM
CENTREVILLE, VA.

PROCEED ON OR ABOUT
9 OCT 89

TO
MONTEREY, CA

FOR APPROXIMATELY
3 days DAYS

EST DATE OF RETURN: 11 OCT 89

TO PRESENT A LECTURE TO MPT STUDENTS AND FACULTY; AND MEET WITH MPT SEMINAR STUDENTS.

ESTIMATED COST:	PERDIEM:	271.00
	TRAVEL:	416.00
		687.00

RENTAL CAR AUTHORIZED IN & AROUND TDY AREA.

RENTAL CAR REQUESTED FROM MONTEREY ON 11 OCT TO LAX, DEPART LOS ANGELES VIA COML AIR 13

WITHIN 5 CALENDAR DAYS OF COMPLETION OF THIS TRAVEL, INDIVIDUAL MUST SUBMIT COMPLETED TRAVEL VOUCHER OR NOTIFY THE COMPTROLLERS OFFICE BY MEMO THAT VOUCHER WILL BE SUBMITTED.

NO PERDIEM AUTHORIZED IN LA AREA.

012Vw

RECOMMEND APPROVAL:
DAVID R. WHIPPLE, CHAIRMAN
DEPT OF ADMIN SCIENCES

UPON COMPLETION RETURN TO
CENTREVILLE, VA

2. Authority is granted for the performance of the above travel by commercial aircraft, rail, bus, Government operated vehicle or aircraft or privately-owned automobile. You are advised that the policy of the Department of Defense requires that in using commercial aircraft, accommodations selected will be the least costly service which will permit satisfactory accomplishment of the mission of the traveler.

3. If the above travel is performed by common carrier you will be provided Government Transportation Requests to exchange for carrier tickets if practicable. If Transportation Requests are not provided you, you may travel by common carrier at personal expense. Reimbursement for the cost of transportation will be limited to one of the following: (a) the least costly scheduled air service or the lowest cost class of accommodations available at the time reservations were made; (b) cost of the rail fare and a lower berth or the lowest first class rail accommodation available at the time reservations were made; (c) actual cost of commercial bus fare. Transportation taxes paid at personal expense are also reimbursable. If travel is performed by privately-owned automobile, you will be reimbursed at the appropriate mileage rate, and for bridge, ferry, tunnel and other highway tolls incurred while in a travel status under this order in accordance with the Joint Travel Regulations, Volume 2. The total reimbursement for travel performed by privately-owned automobile will be limited to the cost of travel by the usual mode of common carrier including per diem. You will keep a record of speedometer readings and expenditures for tolls for use in submitting your travel expense voucher.

4. Receipts and ticket stubs will be required to substantiate your claim for cost of transportation and subsistence for items in excess of $15.00. Receipts should also be obtained for other reimbursable expenses, including official long distance telephone calls. These receipts will be submitted with your claim for reimbursement of expenses.

PER DIEM
$ 92.00 RATE

TRANSPORTATION REQUEST NUMBERS

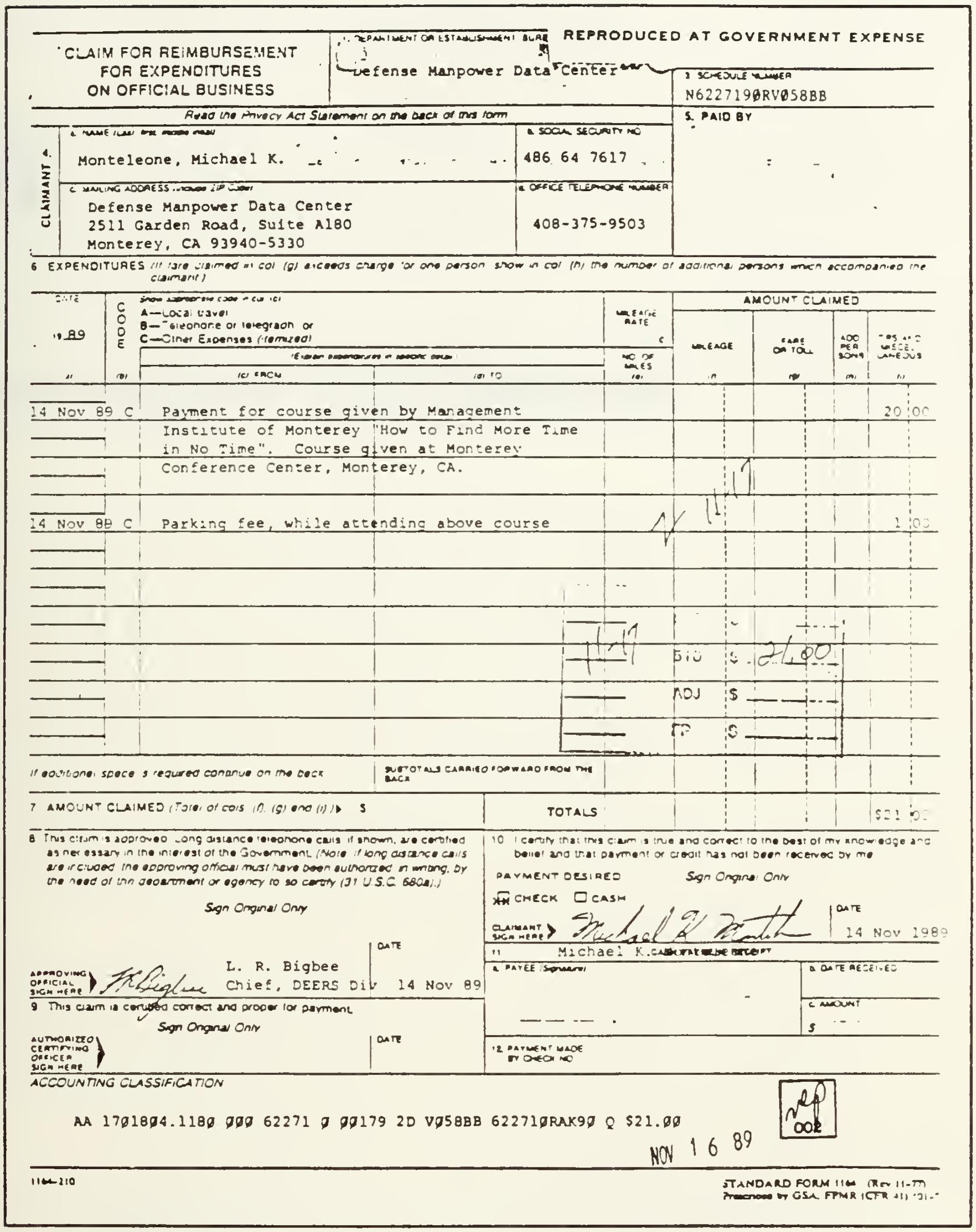
EXPENSES IN THIS ORDER ARE CHARGEABLE TO

AA	1701804.1180	000	62271	0	00179	2D	0001SF	6227100RAMEB	E
AB	1701804.1180	000	62271	0	00179	2D	0001SF	6227100RAMEB	E

KNEALE T. MARSHALL
DEAN, INFO & POLICY SCIENCES

FOR THE SECRETARY OF THE NAVY
By direction of the Superintendent

Figure 9.6 NAVSO 4650/10 - Invitational Travel Order (Reimbursable Funds)



REPRODUCED AT GOVERNMENT EXPENSE

CLAIM FOR REIMBURSEMENT
FOR EXPENDITURES
ON OFFICIAL BUSINESS

1. DEPARTMENT OR ESTABLISHMENT, BUREAU: Defense Manpower Data Center

3. SCHEDULE NUMBER: N6227190RV058BB

Read the Privacy Act Statement on the back of this form

5. PAID BY

4. CLAIMANT

a. NAME (Last, first, middle initial): Monteleone, Michael K.

b. SOCIAL SECURITY NO.: 486 64 7617

c. MAILING ADDRESS (Include ZIP Code):
Defense Manpower Data Center
2511 Garden Road, Suite A180
Monterey, CA 93940-5330

d. OFFICE TELEPHONE NUMBER: 408-375-9503

6 EXPENDITURES (If fare claimed in col. (g) exceeds charge for one person, show in col. (h) the number of additional persons which accompanied the claimant.)

DATE 19 89 (a)	CODE (b)	Show appropriate code in col. (c): A—Local travel; B—Telephone or telegraph; or C—Other Expenses (itemized). (Explain expenditures in specific detail.) (c) FROM	(d) TO	MILEAGE RATE ¢ / NO. OF MILES (e)	AMOUNT CLAIMED: MILEAGE (f)	FARE OR TOLL (g)	ADD. PER-SONS (h)	TIPS AND MISCEL-LANEOUS (i)
14 Nov 89	C	Payment for course given by Management Institute of Monterey "How to Find More Time in No Time". Course given at Monterey Conference Center, Monterey, CA.						20 00
14 Nov 89	C	Parking fee, while attending above course		11/17				1 00
				11/17	SUB	$ 21.00		
					ADJ	$		
					EP	$		
If additional space is required continue on the back		SUBTOTALS CARRIED FORWARD FROM THE BACK						

7 AMOUNT CLAIMED (Total of cols. (f), (g) and (i)) ▸ $

TOTALS $21 00

8 This claim is approved. Long distance telephone calls, if shown, are certified as necessary in the interest of the Government. (Note: If long distance calls are included, the approving official must have been authorized, in writing, by the head of the department or agency to so certify (31 U.S.C. 680a).)

Sign Original Only

APPROVING OFFICIAL SIGN HERE ▸ L. R. Bigbee
L. R. Bigbee
Chief, DEERS Div

DATE 14 Nov 89

9 This claim is certified correct and proper for payment.

Sign Original Only

AUTHORIZED CERTIFYING OFFICER SIGN HERE ▸

DATE

10 I certify that this claim is true and correct to the best of my knowledge and belief and that payment or credit has not been received by me.

PAYMENT DESIRED ☒ CHECK ☐ CASH

Sign Original Only

CLAIMANT SIGN HERE ▸ Michael K. Monteleone

DATE 14 Nov 1989

Michael K.

11 CASH PAYMENT RECEIPT

a. PAYEE (Signature)

b. DATE RECEIVED

c. AMOUNT $

12 PAYMENT MADE BY CHECK NO.

ACCOUNTING CLASSIFICATION

AA 1701804.1180 000 62271 0 00179 2D V058BB 622710RAK90 Q $21.00

NOV 16 89

002

1164-210

STANDARD FORM 1164 (Rev. 11-77)
Prescribed by GSA, FPMR (CFR 41) 101-7

Figure 9.7 SF 1164 - Claim for Reimbursement (Reimbursable Funds)

PART
III

DOCUMENT PROCESSING

PART III

INTRODUCTION

The Chapters contained in Part III - Document Processing, outline the typical document flow and processing procedures associated with NPS financial transactions. Narrative descriptions and flow diagrams illustrate the typical transaction cycles for the three major document categories; i.e., purchase, travel, and labor.

While training documents represent a large document category, the processing procedures for training documents are analogous to those used for purchase and travel documents. For this reason, the processing procedures for training documents have not been covered in a separate chapter; representative procedures for travel and purchase documents should be substituted, as appropriate, wherever training documents are involved.

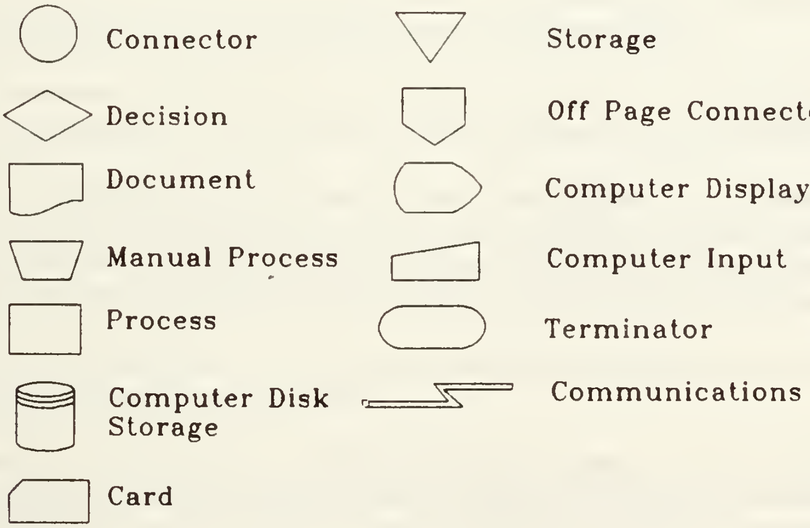
Part III - Document Processing, is divided into three chapters:

Chapter 10 - Purchase Document Processing

Chapter 11 - Travel Document Processing

Chapter 12 - Labor Document Processing

The following symbols are used on the document flow charts contained in Part III - Chapters 10, 11 and 12:


Connector
Decision
Document
Manual Process
Process
Computer Disk Storage
Card
Storage
Off Page Connector
Computer Display
Computer Input
Terminator
Communications

CHAPTER 10

PURCHASE DOCUMENT PROCESSING

Introduction.

Chapter 10 outlines the responsibilities of the various departments and individuals involved in processing purchase type documents. The information is presented in sequential order; from origination of the purchase document, through the receipt of goods and invoice payment.

Figure 10.1 depicts the flow of information for purchases of both government and commercial items.

Responsibilities and Document Flow.

Originator.

When professors and other department personnel need items or services, they prepare a departmental form or memorandum. As a minimum, the memorandum should include:

1. **Complete description of the item or service.**
2. **Price.**
3. **Source.**
4. **Funds to be used for the purchase.**

The memorandum is given to the department's Administrative Assistant for preparation of a requisition (NPS Open Purchase Requisition or DD Form 1348).

After the department Administrative Assistant prepares the requisition, it is returned to the originator for initialing. The requisition is then signed by the Department Chairman.

For purchases made from commercial sources, the originator or department receives a copy of the DD Form 1155 (Purchase Order) from the Purchasing Officer, after the requisition is processed. For purchases from government sources, the originator does not receive any information, unless the item is placed on back order or until the item is actually received.

The Administrative Assistant contacts the originator when the item is received by the department and requests that it be picked up.

The final source of information on the transaction appears on the Comptroller's monthly report. The report shows the amount paid to the vendor and is likely to be different from the amount obligated. This is a result of price changes, differing freight estimates, or discounts offered for early payment.

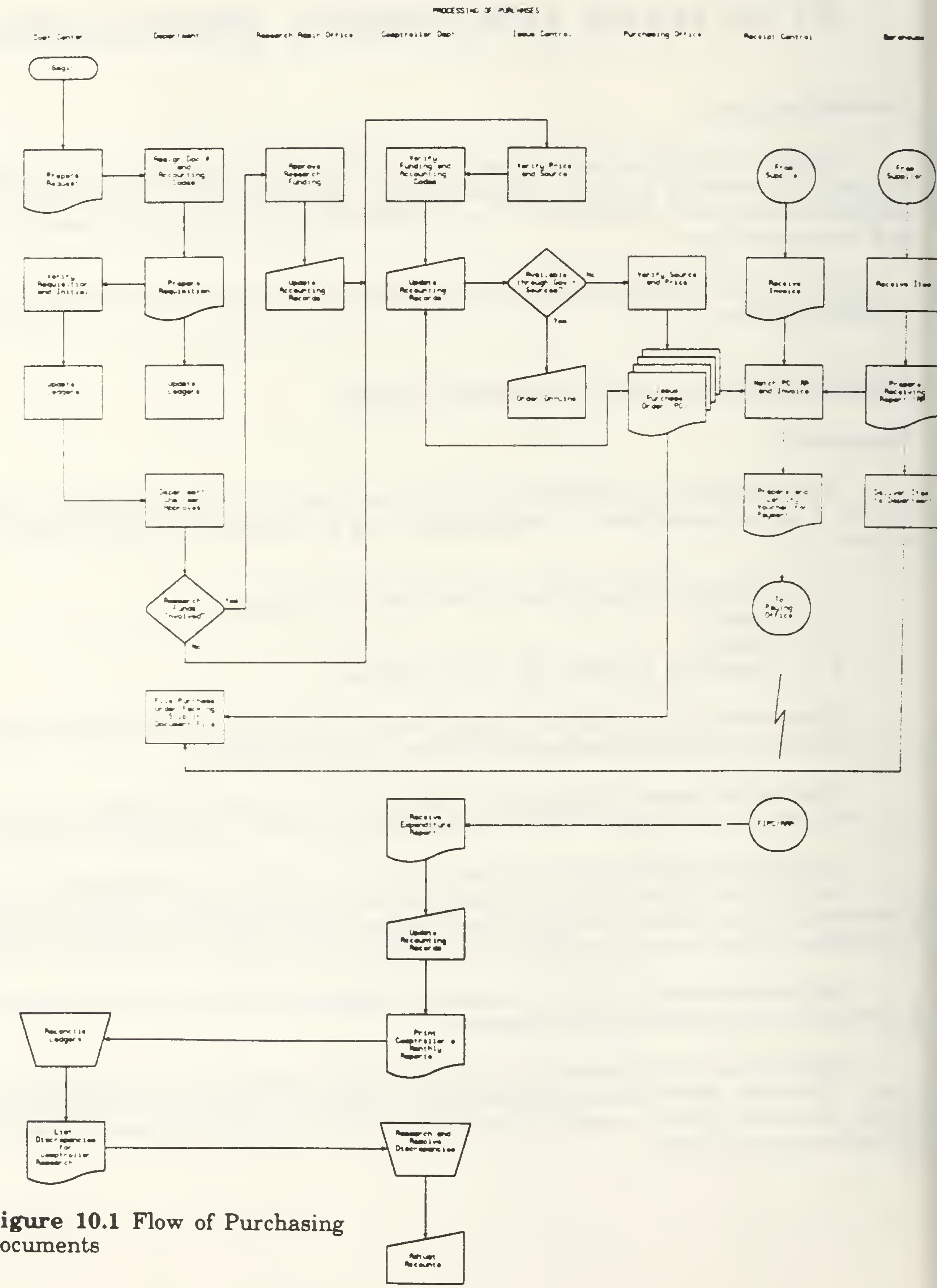

PROCESSING OF PURCHASES
Cost Center
Department
Research Admin Office
Comptroller Dept
Issue Control
Purchasing Office
Receipt Control
Warehouse
Begin
Prepare Request
Assign Cost # and Accounting Codes
Approve Research Funding
Verify Funding and Accounting Codes
Verify Price and Source
From Supplier
From Supplier
Verify Requisition and Initial
Prepare Requisition
Update Accounting Records
Update Accounting Records
Available through Gov't Sources?
No
Yes
Verify Source and Price
Receive Invoice
Receive Ite
Update Ledgers
Update Ledgers
Order Online
Issue Purchase Order (PO)
Match PO, RR and Invoice
Prepare Receiving Report (RR
Department Chairman Approves
Prepare and Verify Voucher for Payment
Deliver Item to Department
Research Funds Involved?
Yes
No
To Paying Office
File Purchase Order Pending Supplier Document File
Receive Expenditure Report
FIPC/RAR
Update Accounting Records
Reconcile Ledgers
Print Comptroller's Monthly Reports
List Discrepancies for Comptroller Research
Research and Resolve Discrepancies
Adjust Accounts

Figure 10.1 Flow of Purchasing Documents

Entries should be made in account ledgers for all transactions and the balance should be reconciled with the Comptroller's monthly report. Part IV (Accounting Procedures) of this guide contains ledger and reconciliation procedures.

Department Administrative Assistant (AA).

The department Administrative Assistant prepares the requisition from the originator's memorandum. The department AA assigns proper accounting codes and document numbers, and updates the department's accounting records. The requisition is then returned to the originator for his approval and initials.

After the originator initials the requisition, it is signed by the Department Chairman. All requisitions funded by research funds must be routed through the RAO, otherwise they go directly to the Issue Control Office in the Supply Department.

Research Administration Office (RAO).

The Research Administration Office (RAO) is responsible for the overall management of research financing at NPS. This office ensures items ordered are budgeted for and within the project's guidelines.

Issue Control, Supply Department.

Issue Control screens the requisition for price accuracy, economy of source, and compliance with applicable regulations. It also notifies departments of any significant price change to the requisitioned items.

Comptroller.

The Edit Clerk reviews the requisition for proper accounting codes and ensures that sufficient funds are available in the account. The requisition is then passed to the Budget Analyst, who updates the local memorandum and "official" records to reflect the obligation.

The Supply Department notifies the Comptroller of any subsequent price change on the items ordered. Comptroller records are adjusted, but this information is usually not transmitted to the cost center until the Comptroller's monthly report is received.

The Comptroller also receives payment information from various paying offices. Changes in the transaction's payment status and amount are reported to the cost center through the monthly report.

Issue Control, Supply Department.

Issue Control processes requisitions for government items. The majority of requisitions enter the Navy Supply System via on-line computer terminals. Copies of the DD Form 1348 are then sent to the Receiving Branch.

Open Purchase Requisitions are forwarded to the Purchasing Office for processing.

Part III Document Processing

Purchasing Office, Supply Department.

The Purchasing Office issues a purchase order from information supplied on the Open Purchase Requisition form. Distribution is made to the commercial supplier, originating department, Comptroller, Receipt Control, and Receiving Branch.

Receiving Branch, Supply Department.

When the Receiving Branch receive their copy of the Purchase Order or DD Form 1348, the form is filed by the expected delivery date of the requisitioned items. When the items arrive, they are inspected and a receiving report is prepared. The receiving report is then forwarded to Receipt Control. The Receiving Branch warehouse personnel deliver the items to the ordering department.

Receipt Control, Supply Department.

Receipt Control is responsible for ensuring that all purchase requirements have been met. They receive a copy of the purchase order from the Purchasing Branch, a receiving report from the Receiving Branch, and an invoice from the supplier. When all required documentation has been received, a voucher is prepared and certified, and then forwarded to the paying office for payment.

Paying Office.

Bills are paid by one of five different paying offices. When a bill is paid, the amount may differ from the amount on the purchase order. This is due to differing freight charges, or discounts for early payment. The final expenditure information makes its way back to the Comptroller, via the Navy accounting system. This information is transmitted to the cost center through the Comptroller's monthly report.

Exceptions.

1. **Partial Shipments.** Special attention is required when a partial shipment is received and the supplier either cancels or back orders remaining items.

2. **Office Supply Issue.** When items are procured from the Office Supply Issue Room, the following procedures apply:

   (a) The Administrative Assistant lists the office supplies needed by the department on the Office Supplies Request Form (GPO 689-317).
   The form is then taken to the issue room, where the items are issued, if available

   (b) Office Supply Issue accumulates the request forms, consolidates the information, and bills the departments on a monthly basis for the cost of the items issued.

   (c) Upon receipt of the bill, the cost center prepares a DD Form 1348 and forwards it to the Comptroller Department (via the RAO, if research funds apply). The Comptroller checks for errors in the accounting codes and ensures that the account has sufficient funds available for the purchase. The DD Form 1348 is then forwarded to the Supply Department for processing.

(d) Once the DD Form 1348 has been processed through the supply system, the expenditure of funds is reflected in Comptroller's monthly report.

3. **Ready Supply Store.** When items are procured from the NPS Ready Supply Store, the following procedures apply:

(a) The Administrative Assistant lists the items needed by the department on the Material Requirements/Issue Document (NAVFAC 9-11014/8). The form is sent directly to the Ready Supply Store.

(b) When the order is filled by Ready Supply, the Administrative Assistance is notified, usually by telephone, of the order's total cost. A DD Form 1348 is then prepared by the department.

(c) Once the DD Form 1348 is completed, it is walked through the Comptroller Department (and RAO, if research funds apply) for approval. Following approval by the Comptroller, the DD Form 1348 is hand carried to the Ready Supply Store and exchanged for the items requested.

4. Express Mail.

Departments requiring an express shipment must prepare a DD Form 1149. The DD Form 1149 should be walked through the Comptroller Department for approval. The package and DD Form 1149 must then be delivered to the Freight Branch, no later than 1400 on the day of shipment. Again, if research funds are involved, the transaction must be authorized by the RAO.

5. Honorariums.

Honorariums are gratuitous payments made to visiting lecturers or consultants to compensate them for their time and preparation. Departments wishing to pay honorariums to guest lecturers must complete NavCompt Form 2277 and a local honorarium request form. As the Comptroller authorizes all honorariums, payments must be cleared through the Comptroller prior to scheduling the guest speaker. If the honorarium involves research funding, the documents should be routed to the Comptroller, via the Research Administration Office. Approved honorariums are forwarded to the Personnel Support Detachment (PSD) for payment.

Honorariums over $250 per day require approval of the Division Dean. Honorariums exceeding $350 per day must be approved by the Superintendent.

CHAPTER 11

TRAVEL DOCUMENT PROCESSING

Introduction.

Chapter 11 outlines the responsibilities of individuals and departments involved in processing travel documents. The information is presented sequentially; from initiation of the travel request to submission of the travel claim for reimbursement of the travel expenses. Routing procedures for travel documents funded by OPTAR, research accounts, or reimbursable funds are each addressed, with Figures 11.1a and 11.1b depicting the appropriate flow of information. Figure 11.2 depicts the flow of documents for travel reimbursement.

Responsibilities and Document Flow.

Principal Investigator/Person Requesting Travel.

An individual requesting official travel, or reimbursement for authorized travel expenses, normally obtains the Travel Worksheet, Passenger Reservation Request and Worksheet for Reimbursement of Travel Expenses from the department Travel Clerk. When completed, the forms are returned to the department Travel Clerk for further processing.

Department Administrative Assistant/Travel Clerk.

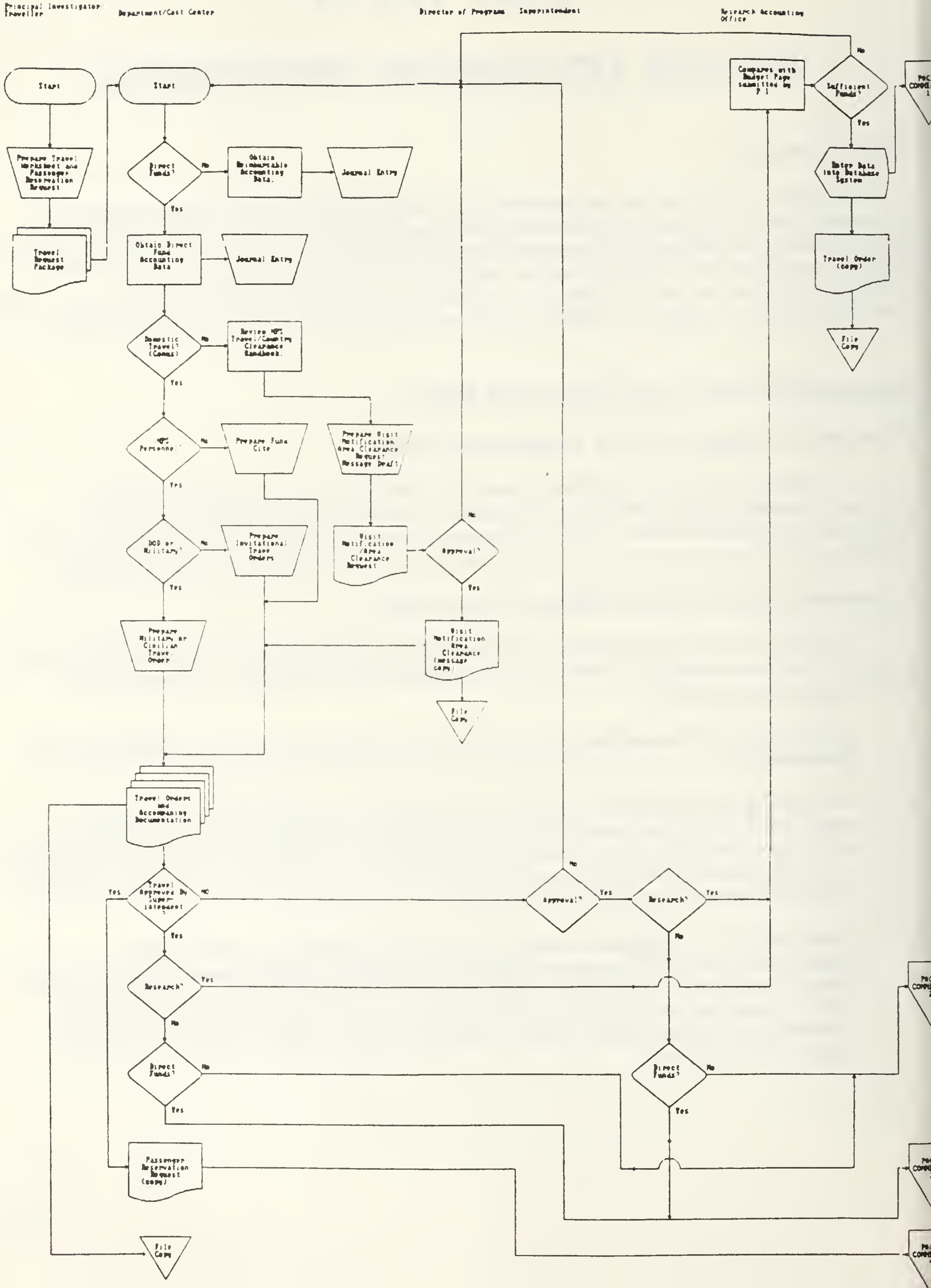
The department Travel Clerk is responsible for preparing the individual's official travel documents and accounting for the travel funds obligated and expended. This entails the following general processes:

1. **Transferring information from the travel worksheets onto the official travel documents.**

2. **Recording the correct accounting data onto the travel documents.** Cost estimates for travel are exactly that - an estimate. Departments usually maintain a file of the per diem and lodging rates applicable to various regions of the country. Typically, you would estimate one day's per diem for round trip airline travel, with the remaining per diem based on the length of the visit.

3. **Completing any supplementary paperwork required, i.e., PRR, Visit Notification, Area Clearances, and attaching this documentation to the Travel Order.** Submit an advance copy of the PRR to the Personnel Support Detachment (PSD) Transportation Office to expedite airline reservations. PSD will not prepare a Government Transportation Request (GTR) for airline tickets until they receive the original Travel Order.

PROCESSING OF TRAVEL INFORMATION


Principal Investigator/ Traveller
Department/Cost Center
Director of Programs
Superintendent
Research Accounting Office
Start
Prepare Travel Worksheet and Passenger Reservation Request
Travel Request Package
Start
Direct Funds?
No
Yes
Obtain Reimbursable Accounting Data.
Journal Entry
Obtain Direct Fund Accounting Data
Journal Entry
Domestic Travel? (Conus)
No
Yes
Review NPS Travel/Country Clearance Handbook.
NPS Personnel?
No
Yes
Prepare Fund Cite
Prepare Visit Notification Area Clearance Request Message Draft
DOD or Military?
No
Yes
Prepare Invitational Travel Orders
Visit Notification /Area Clearance Request
Approval?
No
Yes
Prepare Military or Civilian Travel Order
Visit Notification Area Clearance (message copy)
File Copy
Travel Orders and Accompanying Documentation
Travel Approved By Superintendent?
Yes
No
Yes
Approval?
No
Yes
Research?
Yes
No
Research?
Yes
No
Direct Funds?
No
Yes
Direct Funds?
No
Yes
Passenger Reservation Request (copy)
File Copy
Compares with Budget Page submitted by P.I.
Sufficient Funds?
No
Yes
Enter Data into Database System
Travel Order (copy)
File Copy

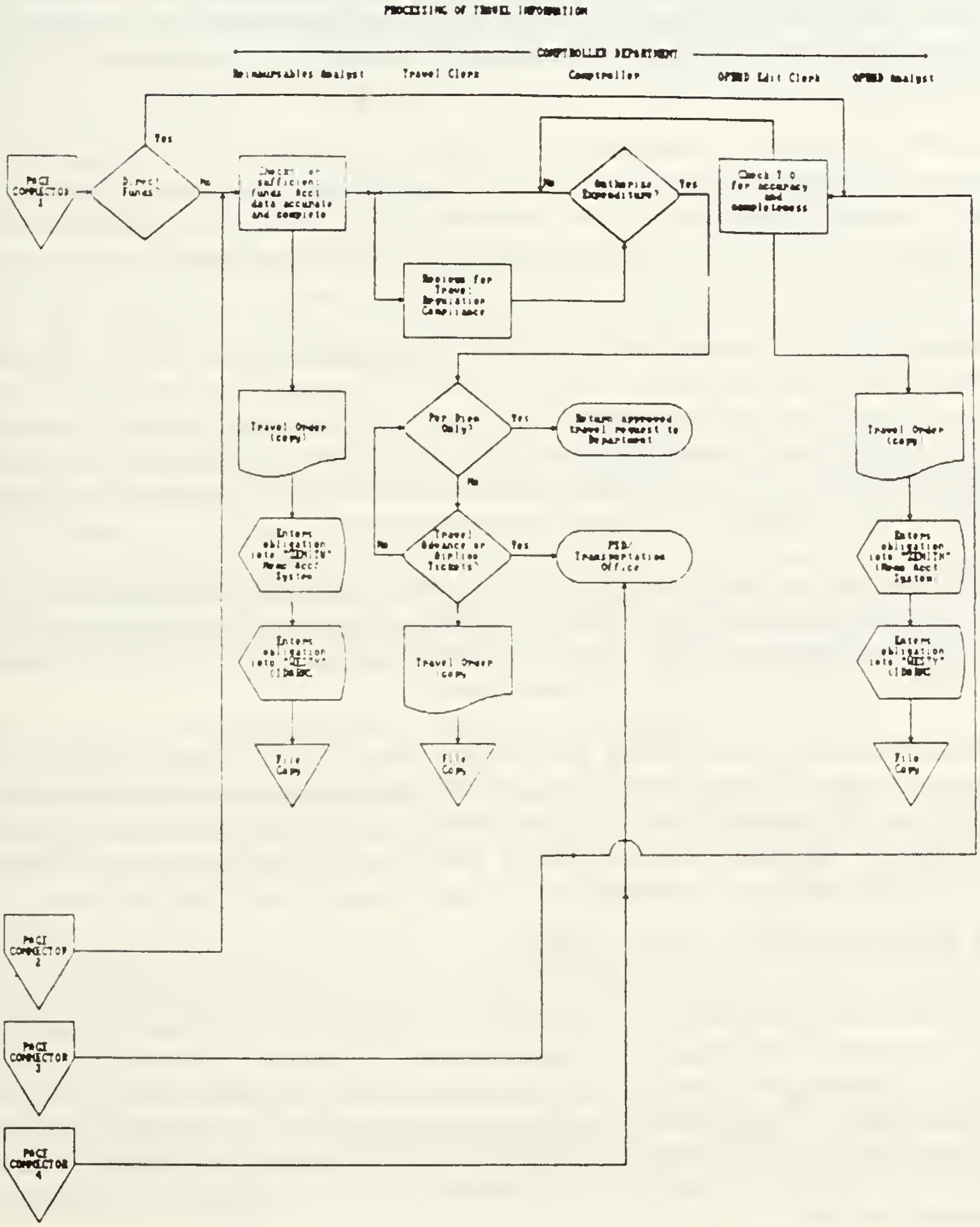

PROCESSING OF TRAVEL INFORMATION
COMPTROLLER DEPARTMENT
Reimbursables Analyst
Travel Clerk
Comptroller
OPBUD Edit Clerk
OPBUD Analyst
PACI CONNECTOR 1
Direct Funds?
Yes
No
Check for sufficient funds Acct data accurate and complete
No
Authorize Expenditure?
Yes
Check T.O. for accuracy and completeness
Reviews for Travel Regulation Compliance
Travel Order (copy)
Per Diem Only?
Yes
Return approved travel request to Department
No
Travel Advance or Airline Tickets?
Yes
No
PSD/ Transportation Office
Enters obligation into "ZENITH" (Reimb Acct System)
Enters obligation into "QUISTY" (IDB ERC
Travel Order (copy)
File Copy
File Copy
File Copy
PACI CONNECTOR 2
PACI CONNECTOR 3
PACI CONNECTOR 4

Figure 11.1A Flow of Travel Documents (previous page)
Figure 11.1B Flow of Travel Documents (continued)

Prepare a Visit Notification or Area Clearance Request for travel outside of the continental United States (CONUS). The NPS Travel/Country Clearance Handbook contains information regarding the preparation of the required letters and messages. When completed, submit the message draft or letter to the Director of Programs, Administrative Officer (Code 032), via the appropriate Dean, for further routing and approval.

4. **Ensuring the Department Chairman and Superintendent approve the requested travel before forwarding the documents for further processing.** The appropriate Division Dean must approve personal travel requested by the Department Chairman.

   NAVPGSCOLNOTE 5050 dated 27 April, 1989 requires the Superintendent's approval for all routine travel on official business. Departments usually submit their upcoming quarterly travel requirements to the Superintendent during the last week of each month. Emergent requirements are handled on a case by case basis.

5. **Submitting the travel documents to the appropriate office for further processing and approval.** Submit travel documents to the RAO, or appropriate comptroller division, at least 10 days prior to the date of travel. Travel requested in support of research must be forwarded to the Research Administration Office. For Other Reimbursable or OPTAR accounts, submit the documents to the Reimbursable Accounting or OPBUD Divisions, as appropriate.

6. **Entering travel cost data into the proper accounting ledgers.** Departments should enter the initial cost data into their ledgers and then reconcile the books when the travel claim is settled. Part IV of this guide provides further information on ledger accounting and reconciliation procedures.

7. **Preparing and submitting Travel Vouchers or Claims for Reimbursement of Expenses on Official Business.** Individuals requiring reimbursement for travel expenses will normally provide the necessary information on locally produced worksheets. Submit travel claims to the Comptroller Department Travel Clerk within 5 working days of travel completion.

Research Administration Office (RAO).

The RAO is responsible for tracking the obligation and expenditure of funds pertaining to research accounts. The Research Administrative Assistant inspects the travel package submitted for discrepancies, and compares the travel funds requested with estimates provided on the Budget Page. (The Budget Page is a detailed estimate, submitted earlier by the Principal Investigator, of the research project's costs.) A copy of the order is then given to the RAO Data Entry Clerk, who enters administrative data into the RAO database system and places the copy on file.

If financing of the research project is provided by direct funds, the Travel Order is routed to the Edit Clerk in the OPBUD Division. For reimbursable research, the travel documents are forwarded to the Account Analyst in the Reimbursable Accounts Division.

Comptroller Department.

OPBUD Division - Edit Clerk.

The Edit Clerk screens all travel funding involving direct research or OPTAR funds. The OB SCC Balance Report is used to check the accuracy of the accounting data on the travel document and to ensure that sufficient funds are available. If funds are available, a copy of the Travel Order is pulled for the Account Analyst, the orders are date stamped and initialed, and the original is forwarded to the Comptroller Department Travel Clerk.

OPBUD Division - Account Analyst.

The Account Analyst receives a screened copy of the travel documents from the Edit Clerk and enters the accounting data into the "ZENITH" (local memorandum database) and "WESTI" (official IDARMS database) systems as an obligation. The Travel Order copy is then placed on file.

When travel is completed and the travel claim settled, the analyst receives a "settlement package" from the Travel Clerk, containing one or more of the following documents: a GTR Itinerary (for airline ticket purchases), a TAD Travel Advance Voucher Summary, a Travel Voucher Summary (claim settlement) and a Collection Voucher (a return of funds from the traveler when an advance exceeds the actual cost of travel). The information provided on these documents is entered into the "ZENITH" system to reconcile the local accounts and record the expense. The obligation recorded in the official "WESTI" is also updated to reflect the actual settlement amount.

Reimbursable Accounts Division - Account Analyst.

The Account Analyst receives the Travel Order from either the RAO, for reimbursable research funds, or directly from the requesting activity, when "other reimbursable" accounts are involved. The Travel Order is screened for the correct accounting entries and then checked against the "ZENITH" database system to ensure that funds are available in the account. If the account has sufficient funds, the analyst retains a copy of the orders and enters the information into the "ZENITH" and "WESTI" database systems as an obligation. The original documents are then forwarded to the Travel Clerk.

When travel is completed and the travel claim settled, the Travel Clerk forwards a "settlement package" to the analyst, indicating the actual amounts expended. The analyst enters the information into the "ZENITH" database to record the expense and reconcile the local records.

Travel Clerk.

The Comptroller Department Travel Clerk is located in the office of the Reimbursable Accounts Division. Depending upon the source of financing, the Travel Clerk receives the Travel Order from either the OPBUD Edit Clerk or Reimbursable Account Analyst. The Travel Clerk screens the paperwork for compliance with the Joint

Federal Travel Regulations (JFTRs) and ensures the correct accounting data is entered on the Travel Order. If the documents are in order, the Travel Clerk forwards them to the Comptroller for authorization to expend the funds. If any irregularities exist, the Travel Clerk contacts the department or individual concerned to remedy the matter.

Once the Comptroller authorizes the expenditure and returns the travel documents, the Travel Clerk removes two copies and routes the original, as necessary. For travel not requiring advance per diem or airline tickets, the Travel Clerk returns the approved Travel Order to the appropriate department. When a travel advance or airline ticket is requested, the Travel Clerk sends the original documents to the Personnel Support Detachment (PSD) for further processing.

Travel claims must be submitted to the Travel Clerk within 5 working days after travel completion. The Travel Clerk records the claim in a logbook, compares it with th travel documents on file, reviews the claim for completeness, retains a copy and forwards the original to the PSD Claims and Vouchers Division for settlement. When the claim is settled, the Travel Clerk receives several settlement documents from PSD indicating the actual settlement amounts. The Travel Clerk accumulates these documents into a "settlement package" and then delivers them to the appropriate analyst for reconciliation of the account.

Personnel Support Detachment (PSD).

PSD issues travel advances and Government Transportation Requests used for airline tickets, and makes final settlement on travel claims. For a travel advance, the Travel Clerk forwards the original Travel Order to PSD Claims and Vouchers. PSD issues a check for the amount requested and endorses the Travel Order. For airline ticket requests, the Travel Clerk sends the original Travel Order to the PSD Transportation Office for further processing.

Upon completion of travel and receipt of the travel claim, the Travel Clerk forwards the paperwork to PSD for final settlement. PSD computes the amount of reimbursement required and adjusts it for any travel advances made or transportation provided. The final settlement check, original Travel Order and copy of the paid travel claim are then returned to the department or individual.

The Comptroller Department Travel Clerk is furnished with copies of the settlement documents. These are used to close out the Travel Clerk's file and are then forwarded to the appropriate analyst for reconciliation of the local memorandum accounting records.

NOTE: Some departments require that checks for travel reimbursement be sent directly to the department. This allows the department's Travel Clerk to reconcile the ledgers soon after travel is completed. Other departments do not have this requirement and rely entirely on the Comptroller reports to reconcile their books.

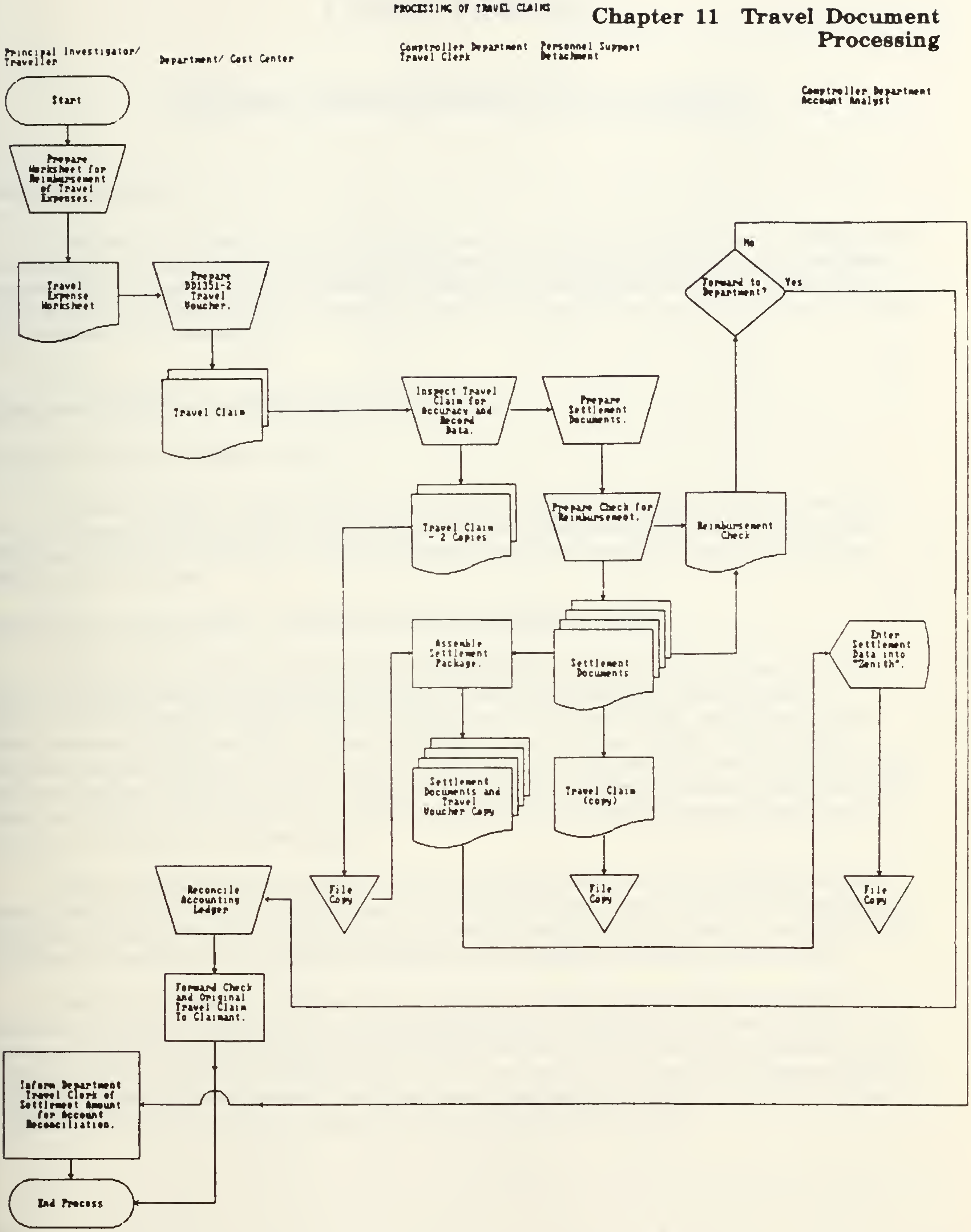

PROCESSING OF TRAVEL CLAIMS
Principal Investigator/ Traveller
Department/ Cost Center
Comptroller Department Travel Clerk
Personnel Support Detachment
Comptroller Department Account Analyst
Start
Prepare Worksheet for Reimbursement of Travel Expenses.
Travel Expense Worksheet
Prepare DD1351-2 Travel Voucher.
Travel Claim
Inspect Travel Claim for Accuracy and Record Data.
Prepare Settlement Documents.
Forward to Department?
No
Yes
Travel Claim - 2 Copies
Prepare Check for Reimbursement.
Reimbursement Check
Assemble Settlement Package.
Settlement Documents
Enter Settlement Data into "Zenith".
Settlement Documents and Travel Voucher Copy
Travel Claim (copy)
Reconcile Accounting Ledger
File Copy
File Copy
File Copy
Forward Check and Original Travel Claim To Claimant.
Inform Department Travel Clerk of Settlement Amount for Account Reconciliation.
End Process

Figure 11.2 Flow of Documents for Reimbursement of Travel Expenses

CHAPTER 12

Labor Document Processing

Introduction.

Chapter 12 outlines the responsibilities and procedures for individuals and departments handling labor related documents. As in Chapters 10 and 11, the information is presented sequentially; starting with the submission of the Personnel Requests and concluding with disbursement of the employee's paycheck. Figure 12.1 depicts the flow of information for labor and timekeeping documents.

Responsibilities and Document Flow.

Civilian Personnel Office (CPO).

The payroll cycle is initiated by a Notification of Personnel Action (SF-50) from the Civilian Personnel Office (CPO). The CPO mails the SF-50 to the FIPC for entry into the official accounting records and to the NPS Payroll and Timekeeping Division for the local memorandum records.

Comptroller Department - Payroll and Timekeeping Division.

The Payroll and Timekeeping Division coordinate the submission of time and labor distribution information (except for the Public Works Department) to the Financial Information Processing Center (FIPC), Washington, D.C. The division maintains the local labor memorandum accounting system and prepares payroll cost reports. Staff support (Government Service/Wage Grade personnel) payroll and labor costs are accumulated on time and labor cards. Faculty payroll costs are accumulated on a Faculty Certification Letter. The Letter consists of labor information condensed from the Faculty Employment Certification Memos, submitted by each department.

When Payroll and Timekeeping receive the SF-50 from the CPO, the information is entered into the local labor memorandum accounting system to generate the Staffing Report and Payroll Checklist. The Staffing Report is used for employment projection and budgeting. The Payroll Checklist lists all employees based on funding and home job order number.

The Payroll Checklist also serves as a check for newly reported personnel and for employees who have resigned. If a new employee is on the checklist and time and labor cards for the individual are not submitted, Payroll and Timekeeping contact the department and request that the necessary cards be forwarded for processing. If an employee resigns and time and labor cards are not submitted, the department responsible is asked to complete a Request for Personnel Action (SF-52) to close out the former employee's account.

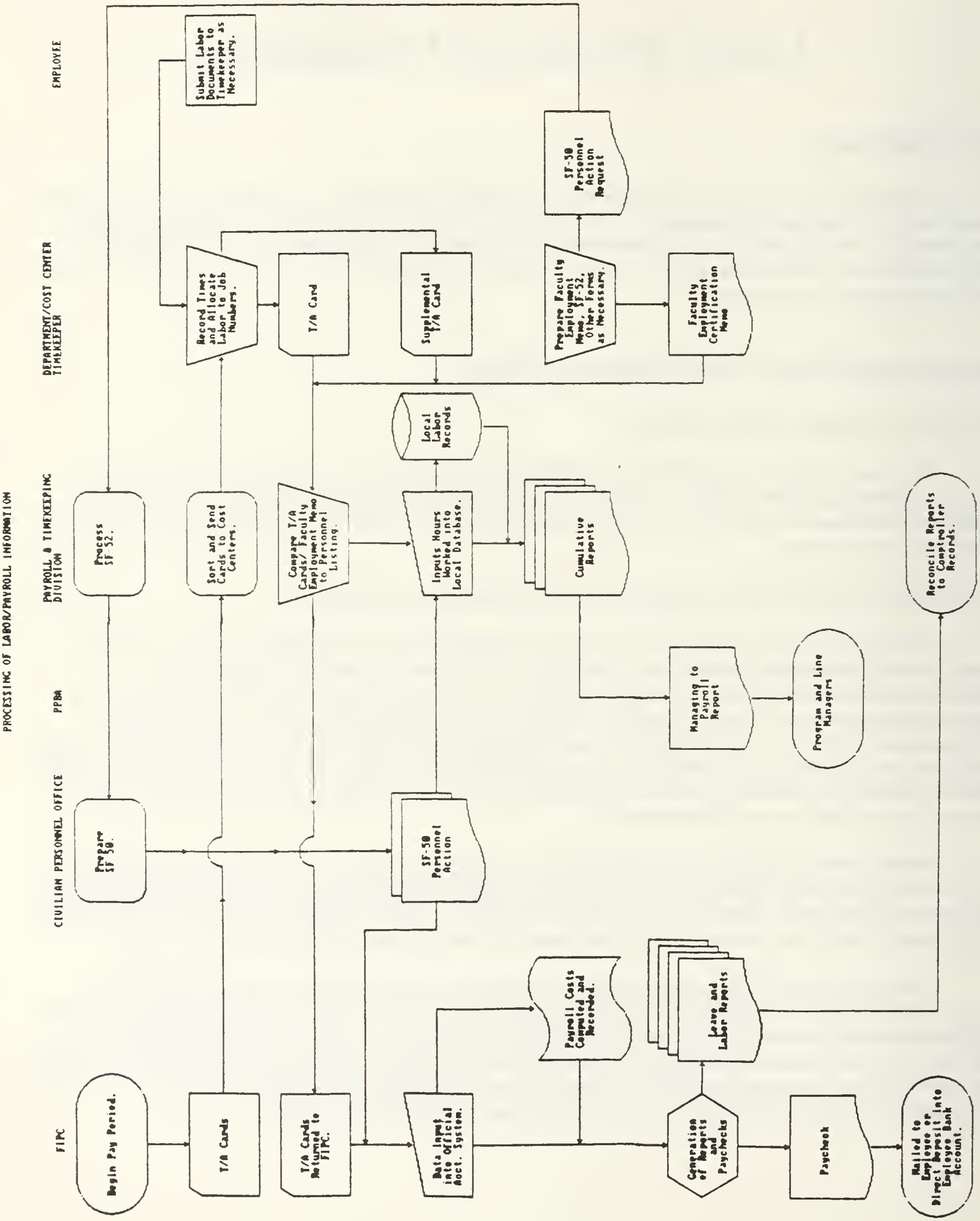

PROCESSING OF LABOR/PAYROLL INFORMATION
FIPC
CIVILIAN PERSONNEL OFFICE
PPBA
PAYROLL & TIMEKEEPING DIVISION
DEPARTMENT/COST CENTER TIMEKEEPER
EMPLOYEE
Begin Pay Period.
T/A Cards
T/A Cards Returned to FIPC.
Data Input into Official Acct. System.
Generation of Reports and Paychecks
Paycheck
Mailed to Employee or Direct Deposit into Employee Bank Account.
Payroll Costs Computed and Recorded.
Leave and Labor Reports
Prepare SF 50.
SF-50 Personnel Action
Managing to Payroll Report
Program and Line Managers
Process SF 52.
Sort and Send Cards to Cost Centers.
Compare T/A Cards/ Faculty Employment Memo to Personnel Listing.
Inputs Hours Worked into Local Database.
Cumulative Reports
Reconcile Reports to Comptroller Records.
Local Labor Records
Record Times and Allocate Labor to Job Numbers.
T/A Card
Supplemental T/A Card
Prepare Faculty Employment Memo, SF-52, Other Forms as Necessary.
Faculty Employment Certification Memo
SF-50 Personnel Action Request
Submit Labor Documents to Timekeeper as Necessary.

Figure 12.1 Flow of Labor Documents

Time Cards sent from the FIPC to NPS are compared with the names of employees listed on Payroll Checklist. The cards are separated by department distribution codes and sent to the departments by guard mail, or alternatively, department timekeepers may pick them up. Several blank time and labor cards, for new employees, are included in the FIPC's mailing. When the time and labor cards return from each department, they are screened for proper completion. This includes a check for correct signatures and overtime authorization procedures. Payroll and Timekeeping compare the documents to the Payroll Checklist to ensure that all time and labor cards are accounted for and then enter the labor data into the local memorandum system. In the meantime, all the time and labor cards are sent, via express mail, to the FIPC.

Timekeeper.

Cost and sub-cost center labor data is accumulated by department timekeepers. The designated timekeeper is responsible for filling out time and labor cards, supplemental time cards and any other applicable labor documents, and returning them to the Payroll and Timekeeping Division. Faculty Employment Certification Memos are forwarded to the Academic Planning Department for further processing. The payroll time period is two weeks. Time and labor cards arrive on a Friday and must be returned to Payroll and Timekeeping on the second Monday of the pay period, completely filled out for the two week period. This necessitates estimating the last six days of the pay period.

A supplemental time card is submitted in the next pay period, to correct incorrect entries made in the previous pay period, e.g., unanticipated sick or annual leave. If supplemental cards are submitted by the first Monday of the new pay period, the corrections will be reflected in the employees next pay check. Otherwise, corrections will be noted in the next pay period. The following time line illustrates key events in the NPS payroll cycle:

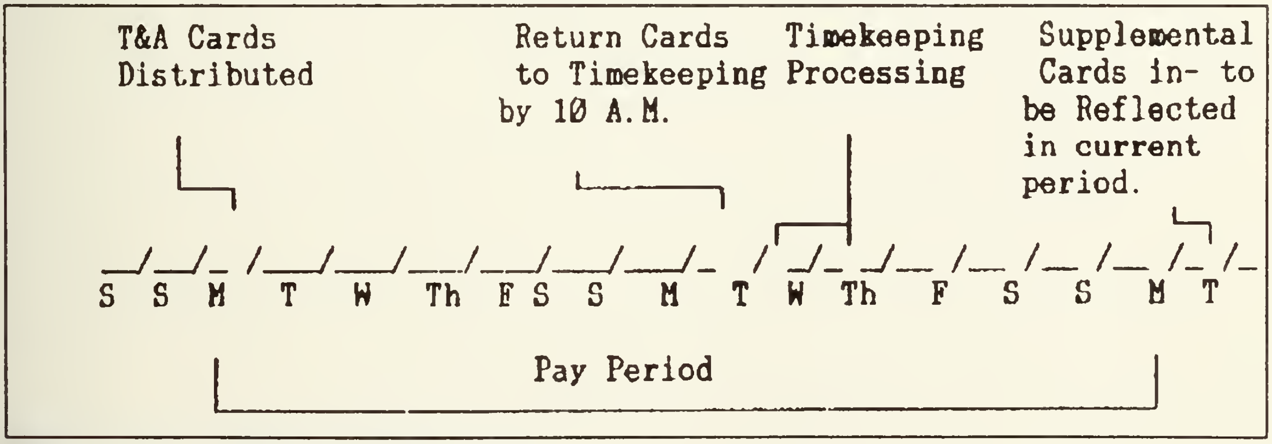

T&A Cards Distributed
Return Cards to Timekeeping by 10 A.M.
Timekeeping Processing
Supplemental Cards in- to be Reflected in current period.
S S M T W Th F S S M T W Th F S S M T
Pay Period

Figure 12.2 NPS Payroll Timeline

Planning and Program Budget Analyst (PPBA).

Several cumulative reports are generated by the Payroll and Timekeeping Division from locally held labor accounting records. The cumulative reports list the dollar amounts expended on labor and the bottom line totals remaining in each resource account, i.e., Direct, Indirect and Reimbursable. The cumulative reports are sent to the Planning & Program Budget Analyst (PPBA) who uses the information to generate the Managing to Payroll Report. This report is used by NPS Line Managers to manage their payroll.

Financial Information Processing Center (FIPC).

At the beginning of each pay period, the FIPC (NRFC) mails all time and labor cards to the Naval Postgraduate School Payroll and Timekeeping Division.

When the completed time/labor cards and Faculty Certification Letter are returned to the FIPC, the data is manually key punched into the IDARMS and the official payroll costs ar computed and recorded. (The Payroll and Timekeeping Division at NPS can only access the IDARMS to correct labor hours and job order numbers). The FIPC then issues a paycheck, which is mailed to the employee or electronically deposited into the employee's bank account.

The FIPC also publishes monthly NAVCOMPT accounting reports (Uniform Management Reports) which the Comptroller Department use to reconcile the School's financial records.

PART
IV

ACCOUNTING PROCEDURES

PART IV

INTRODUCTION

Part IV of this guide provides information necessary to maintain and reconcile cost center accounting records. Due to the diversity of automated ledgers used at NPS, this part focuses on a manual ledger system. The procedures used with manual ledgers differ somewhat from those used for automated ledgers; However, many of the basic concepts and techniques of a manual ledger system can be applied to an automated system.

Part IV is divided into the three chapters:

Chapter 13 -	General Accounting Information
Chapter 14 -	Cost Center Accounting and Bookkeeping Procedures
Chapter 15 -	Understanding the NPS Comptroller Monthly Report

Chapter 13 presents the basic framework of the Navy accounting system. It isolates the dimensions of the system, and when combined with the overview presented in Chapter 1, provides a solid foundation for understanding Navy accounting principles. Chapter 14 develops a standardized method for maintaining accounting ledgers and files. It sets forth procedures for handling price changes, reconciling account ledgers, and closing out records. Chapter 15 provides a detailed description of the Comptroller's reports and explains how to interpret them. The objective of Part IV is to provide documented procedures to assist personnel in maintaining cost center accounting records.

CHAPTER 13

GENERAL ACCOUNTING INFORMATION

Introduction.

The accounting procedures used by the Navy to account for cost center funds are quite different from the "double entry" accounting procedures used by private industry. In fact, the procedures employed by cost centers closely resemble those used in keeping a personal checking account. To properly account for funds, a clear understanding of how the Navy accounting system works is required. Many of these concepts have been discussed in previous chapters, but are reiterated here to build a foundation for applying the accounting procedures at the cost center level.

RMS Accounting Concepts.

Accounts.

The basic component of accounting - is the account. Accounts are the building blocks of the accounting system and the principle means through which the Navy controls funds. They serve as a mechanism for transmitting funds designated for a particular purpose, i.e., operations, research, etc., to a specific responsible unit or person. They also serve as a record, or register, for accumulating cost information and establishing accountability. Figure 13.1 provides some examples of the typical cost center accounts used at the Naval Postgraduate School.

Account	Cost Center	Purpose
Operating funds (OPTAR)	Academic Department	Cost of normal operations.
Indirect Support	Academic Department	Indirect support of research.
Direct Funded Research (DFR)	Principal Investigator	Approved research project.
Reimbursable Research	Principal Investigator	Sponsored research project.

Figure 13.1 Typical NPS Accounts

Travel Ceiling.

A ceiling is a limit placed on the amount of money that may be spent on a specific expense category . It serves as a means of controlling costs. Most of the accounts at the Naval Postgraduate School have a ceiling on travel expenses. These ceilings are expressed in the cost center's fund authorization, and authorize a specific amount of money for travel. While the amount authorized for travel cannot be exceeded, the funds authorized for travel may be used for other purposes; as long as the total account authorization is not exceeded.

For a cost center to comply with the restrictions, travel expenses must be clearly defined. Travel expenses include: transportation and per diem expenses, and reimbursements for the use of a privately owned vehicles while conducting official business. Registration fees, even if authorized by travel orders, are not considered travel expenses. The Navy accounting system identifies travel expenses with expense element "E" in the cost code.

Accounting Period.

The accounting period for the federal government is a fiscal year. The government's fiscal year begins on October 1 each year and ends on September 30 the following year. The fiscal year is designated by the last two digits of the year in which it ends. For example, the period October 1, 1989 through September 30, 1990 is fiscal year 90 or "FY90".

Funds directly appropriated to the Naval Postgraduate School are usually allocated quarterly and expire at the end of the fiscal year. Reimbursable funds, on the other hand, may be allocated in a lump sum and expire at times other than the end of the fiscal year, depending upon the source of funds and the conditions of the funding agreement. Despite these differences, the fiscal year is used as the accounting period for reimbursable funds. The reimbursable funds that do not expire at the end of the fiscal year may be carried forward, as a new account, into the next fiscal year.

Transactions.

A transaction is the smallest identifiable element recorded into the accounting system. Transactions accumulate in the accounting system to provide cost information and account balances. In the Navy accounting system, a transaction is represented by the single line of accounting classification data (accounting codes) cited on a document. A set of travel orders, for instance, uses a separate line of accounting code to account for each category of expense, i.e., per diem, transportation, and registration fees. The line of accounting classification code for each expense category is considered, therefore, as a separate transaction for accounting purposes.

In order to track transactions through the accounting system, we must have a means of identifying them. A checking account uses check numbers to identify check transactions. The Navy accounting system uses a document number, plus an Accounting Classification Reference Number (ACRN), if necessary, to identify individual transactions. When a single document has more than one line of accounting classification data, ACRNs, i.e., AA, AB, etc., are assigned to distinguish between each line of classification data. See Chapter 4 - Coding Systems, for further information.

Accounting Records.

The FIPC, Washington, D.C., maintains the "official" accounting records for NPS, while the NPS Comptroller and individual cost centers maintain the local memorandum (unofficial) records. The memorandum records provide local management information, while serving as a check on the official records.

Flow of Accounting Data.

The flow of accounting data for any transaction begins with the obligation of funds by the cost center. It continues until the obligation is liquidated (either through the expenditure of funds or cancellation of the obligation) and reflected correctly in all three accounting records, i.e., FIPC, Comptroller, and cost center. Understanding this flow is essential in accounting for Navy funds. Chapter 1 provides a overview of the flow of accounting data in the Navy's accounting system.

It is important to remember that the amount obligated by the cost center, in most instances, is an estimate which is subject to change. The source for identifying these changes is the Comptroller's monthly accounting report.

Summary.

The purpose of this Chapter was to build upon the general information provided in Chapter 1 and to expand upon some essential elements of the accounting system. To recount the main points in this Chapter;

1. The accounting system consists of a collection of individual accounts used to distribute fund authority and accumulate transaction information. Accounts may be restricted by administrative controls, such as ceilings on travel expenses and time constraints.

2. Transactions accumulate in the accounting system to provide cost information and account balances. Document numbers and ACRNs are used to trace individual transactions through the accounting process.

CHAPTER 14

COST CENTER ACCOUNTING and BOOKKEEPING PROCEDURES

Introduction.

This Chapter describes a standardized method of accounting for cost center funds. A blueprint for a manual bookkeeping system is provided, which details the procedures necessary to maintain cost center ledgers and accounting files.

Cost Center Accounting Records.

Cost centers maintain accounting records to provide current information for making local management decisions. They also provide a means of ensuring that transactions are timely and accurately reported into the official accounting records. To meet these requirements, accounting records must:

1. Provide an accurate account balance.
2. Provide a means of monitoring compliance with travel ceilings.
3. Provide a simple method of identifying transactions which are delinquent in posting to the official records.

Accounting records must be designed to ensure that transactions are properly recorded and to reduce the possibility of duplicate ledger entries. The accounting ledgers must furnish an easy method for accommodating the frequent changes which occur in transaction amounts, as well as provide an audit trail which would lead to the source of these changes.

Manual Ledger System.

The suggested design for the manual ledger system involves dividing the account into subaccounts, or sections. That is, the account is split into travel and purchase sections to allow for monitoring of travel ceiling compliance. If a reimbursable account is involved, a section for labor may be required, as well. See Figure 14.1.

To simplify the assignment of document numbers and to ensure that all transactions are entered into the ledger, it is suggested that a separate ledger page be maintained for each document type. For example, the account would have a page for Open Purchase Requisitions ("RQ" series), Standard Stock Requisitions ("julian date - serial number" series), and Travel Orders ("TO" series). Low volume document types, such as Claims for Reimbursement ("RV" series), Honorariums ("MD" series) and civilian training ("TG" series) could be combined on a single miscellaneous page, so long as sequential document numbers can be readily accounted for. Finally, there should be a fund authorization page and transaction adjustments page within each section.

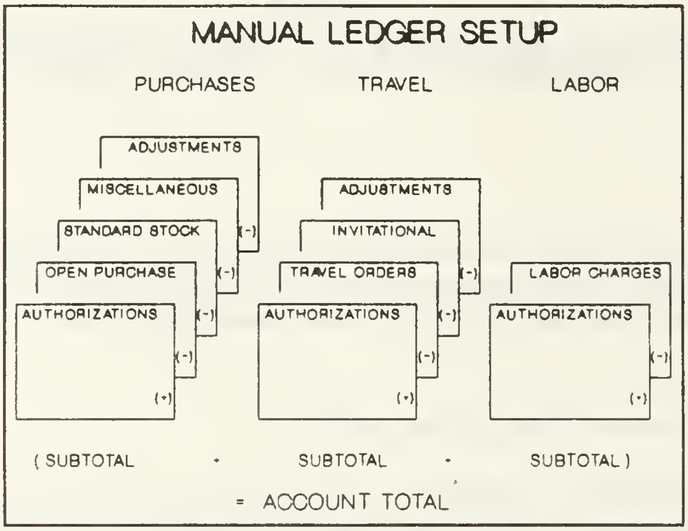

MANUAL LEDGER SETUP
PURCHASES
TRAVEL
LABOR
ADJUSTMENTS
MISCELLANEOUS
STANDARD STOCK
OPEN PURCHASE
AUTHORIZATIONS
ADJUSTMENTS
INVITATIONAL
TRAVEL ORDERS
AUTHORIZATIONS
LABOR CHARGES
AUTHORIZATIONS
(-)
(+)
(SUBTOTAL + SUBTOTAL + SUBTOTAL)
= ACCOUNT TOTAL

Figure 14.1 Manual Ledger Setup

Determining an account balance, under this configuration, requires that the balance of each transaction and section adjustments page be subtracted from the balance on the fund authorization page. Balances can be obtained for each section, as well as for the total account. It may be desirable to maintain a memo sheet, in the front of the ledger, to periodically record the account's balance.

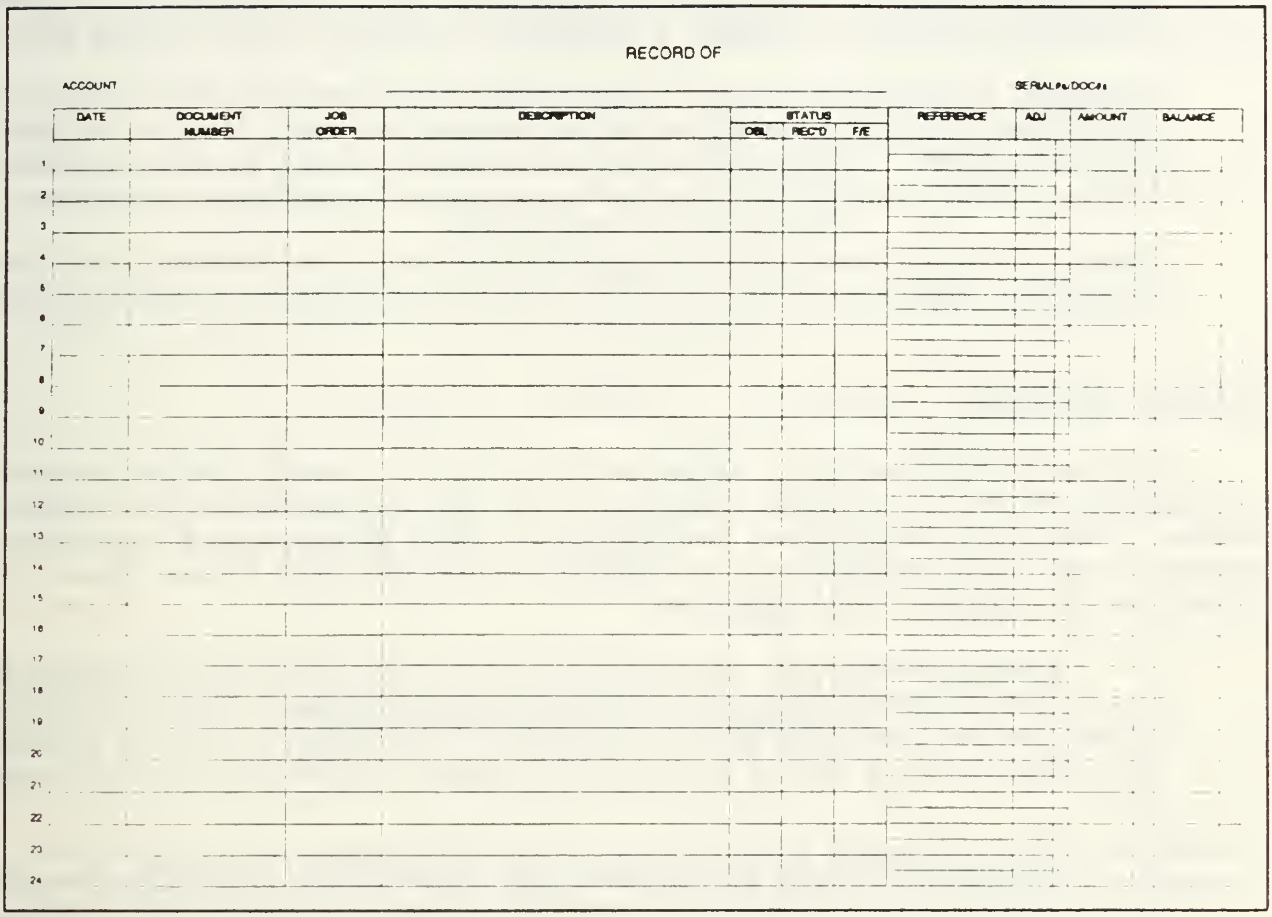
Column Setup.

Figure 14.2 depicts the column setup for a manual accounting ledger sheet. The columns are designed to provide a current balance for the page, as well as an audit trail. Furthermore, the columns allow easy identification of transactions that do not post to the official records within a reasonable amount of time. Column entries are described as follows:

Date. The date column is used for recording the date of the ledger entry.

Document Number. The document number column is used to record the document number. Document numbers should be sequential, as a single ledger sheet is used by each document type, i.e., "RQ", "TO", etc. The document number will include an ACRN, if more than one transaction appears on a single document.

Job Order. The job order number is recorded in this column to ensure that it posts correctly to the monthly Comptroller reports. For reimbursable accounts, enter the expense element only.



RECORD OF

ACCOUNT ______ SERIAL # & DOC #

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	F/E				
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
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19											
20											
21											
22											
23											
24											

Figure 14.2 Ledger Sheet (Sample)

Description. A verbal description of the transaction. The descriptions most commonly used by NPS cost centers are, "traveler/destination" for travel orders and "vendor/product" for requisitions.

Status. The status columns permit transactions to be tracked and readily identify transactions requiring follow-up action. The "OBL" column is used to record the date the obligation appears on the Comptroller's report. The "REC'D" column is used to record the date goods and services are actual received, or the date a traveler submits a claim for reimbursement. The "F/E" column is used for recording the date the final expenditure appears on the Comptroller's report.

Reference. This column is used to cross-reference adjusting entries and make explanatory comments. Some suggested abbreviations are:

PC:	Price Change
CANX:	Cancellation
MOD:	Modification of Travel Orders
DISC:	Discount

Adjustments. The Adjustments column is used to record an adjustment made to the original obligation amount. The amounts in this column should be preceded by a plus or minus sign to indicate a increase or decrease in the obligated amount.

Amount. This column is used to record the original amount of the obligation. In many cases, the actual amount of the transaction will differ from the original obligated amount. These differences are reconciled through separate adjusting entries, as will be explained later in the section on reconciliation procedures.

Balance. This column is used to maintain the cumulative balance of a particular transaction type, i.e., "RQ", "TO", etc. It does not represent the account's balance.

Filing System.

Accounting files consists of all source documents and reports used to reconcile the cost center's account(s). The files provide an audit trail and substantiate all ledger entries. Used in the configuration described below, these files provide a convenient method for monitoring the status of outstanding orders and travel claims. Figure 14.3 illustrates the suggested file organization.

1. **Authorization file.** The authorization file contains all authorization letters and adjustments for the account. For reimbursable accounts, the file should includ copies of agreements, contracts, and funding documents. For research accounts, th file should include a copy of the approved research proposal and current budget page.

2. **Document files.** The document files consist of the documents that support each transaction. The following document files should be maintained:

   a. **Pending file.** This file contains copies of the obligation or cancellation documents submitted, but not reflected on the Comptroller's monthly report.

   b. **Undelivered Orders (UDO) file.** This file contains copies of documents which support the transactions appearing on the Comptroller's monthly report - but for which payment is not due, i.e., requisitions for good that have not been received or travel orders for which the traveler has not submitted a claim.

   c. **Accounts Payable (A/P) file.** The A/P file contains copies of the obligation documents for which payment is due, i.e., requisitions for goods received, travel orders for which claims have been submitted.

   d. **Final Expenditure (F/E) file.** When an obligation is finalized, eithe by cancelling the transaction or by satisfying the obligation through the expenditure of funds, copies of the obligating document are placed in the F/E file. The F/E file is a "completed file". Documents should be filed in document number sequence.

3. **Reports file.** This file contains copies of the Comptroller's monthly report, along with annotations made during the reconciliation process. If local ledgers are automated, a copy of the local ledger sheet used for reconciling should be included.

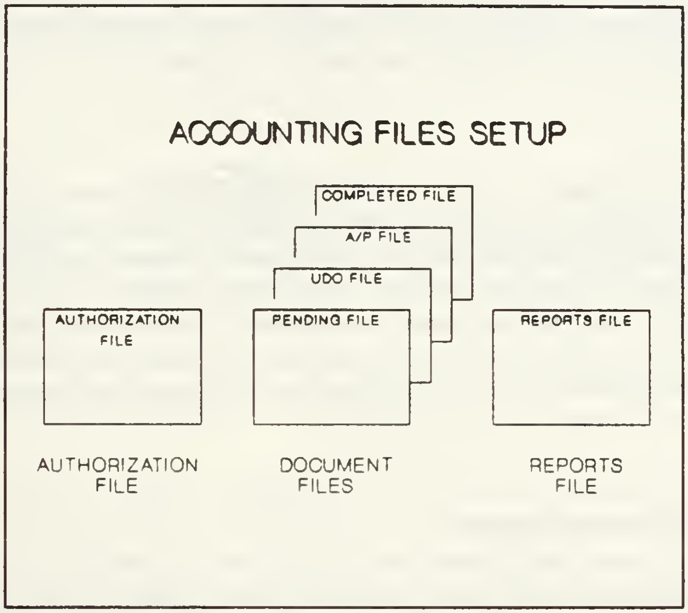


Figure 14.3 Organization of Accounting Files

Generally, all documents that support a transaction accumulate into a package, i.e., purchase requisition, purchase order, and packing slip, and flow through the document files as follows:

Purchases.

The obligation document (requisition) is prepared and an accounting entry is made in the account ledger. A copy of the requisition is placed in the pending file. When a copy of the purchase order is received, it is stapled to the file copy of the requisition and returned to the pending file. The documents remain in the pending folder until the transaction appears on the Comptroller's monthly report. The documents are then moved to the UDO (Undelivered Order) file. When the goods ordered are received, a copy of the packing slip is attached to the originating documents and an annotation is made on the face of the originating documents, indicating the date goods were received. The document package is now placed in the A/P (Accounts Payable) file. When the transaction finally appears as an expenditure for the full amount of the transaction, the package is moved to the F/E (Final Expenditure) file.

Travel.

When a travel order is issued, an accounting entry is made in the account ledger for the estimated travel cost. A copy of the travel order is filed in the pending file, until the obligation appears on the Comptroller's monthly report. The travel order is then moved to the UDO file. When the traveler completes the travel and submits a travel claim for reimbursement, the date the claim was submitted should be annotated on the travel order. The travel order is then moved to the A/P file. Travel claims are usually paid by PSD and checks are often routed through the traveler's department. In such cases, the cost center may wish to make an account adjustment and annotate the date paid on the travel order. However, the travel order should remain in the A/P file until i appears as an expenditure on the Comptroller's report.

Labor.

Cost centers that have reimbursable accounts are responsible for ensuring that appropriate labor charges are made to reimbursable accounts. When labor cards or faculty labor certifications are submitted, the cost center should compute the appropriate labor charges, by using the acceleration rate (rate used to add fringe benefits), and make an accounting entry to the reimbursable account. A sheet of paper with labor calculatio should be filed in the pending file until charges appear on the Comptroller's report. When labor charges appear on the Comptroller's report, the amounts should be verified and the computations moved to the F/E file.

Bookkeeping Procedures.

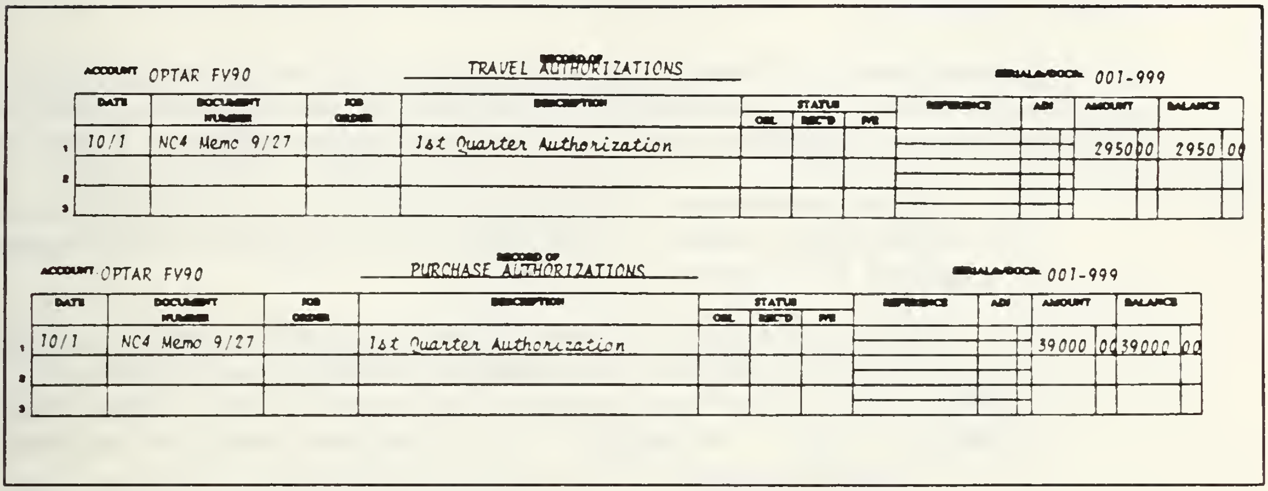
Now that we have developed a standard format for manual accounting ledgers, an a method for maintaining accounting files, we will use the suggested ledger and filing system to develop a set of standardize accounting procedures. The procedures fall into three categories: (1) **Regular or daily procedures,** (2) **Monthly reconciliation procedures,** and (3) **Year-end or close-out procedures**.

Regular or Daily Procedures.

These procedures primarily involve recording transactions as they occur. The cost center will make the following entries as transactions originate and file the source documents in the document files according to the procedures outlined below.

1. **Authorizations.** When a quarterly authorization letter or a letter modifyin the quarterly authorization is received, the cost center will record the amount of the authorization on the "authorization" pages of the account ledger, i.e., purchase authorization page, travel authorization page, and labor authorization page. The authorization documents are then filed in the Authorization file.

   Care should be taken to ensure that modifications reflected a negative amount when they decrease an authorization . Sample entries are illustrated in Figure 14.4.



ACCOUNT OPTAR FY90

RECORD OF TRAVEL AUTHORIZATIONS

SERIALS/DOCS. 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/1	NC4 Memo 9/27		1st Quarter Authorization						2950 00	2950 00
2											
3											

ACCOUNT OPTAR FY90

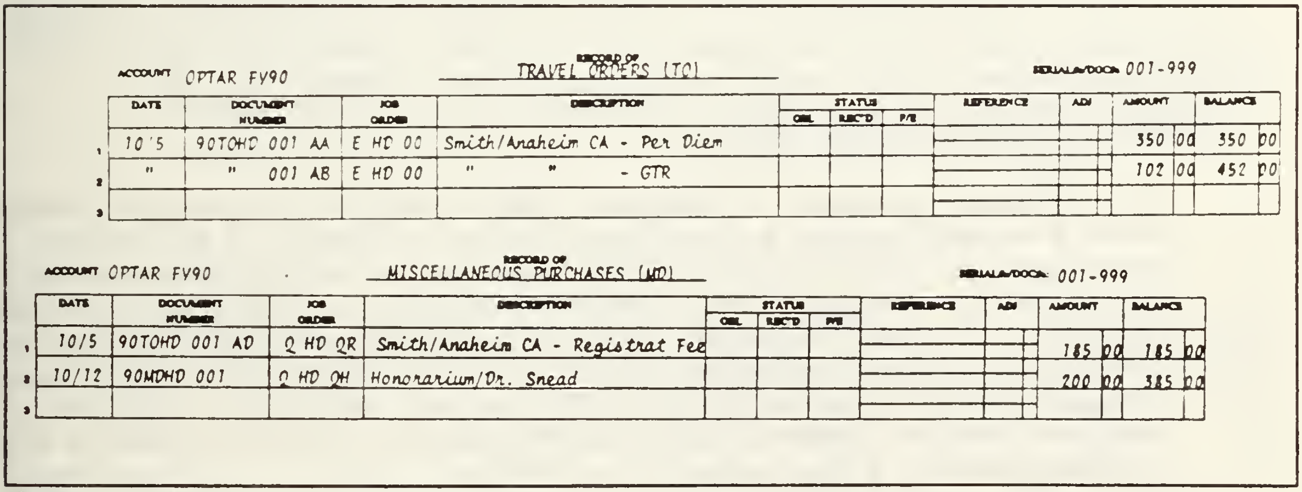
RECORD OF PURCHASE AUTHORIZATIONS

SERIALS/DOCS. 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/1	NC4 Memo 9/27		1st Quarter Authorization						39000 00	39000 00
2											
3											

Figure 14.4 Authorization Entry

2. **Obligations.** When a requisition or a set of travel orders is initiated, the cost center should record the obligation on the appropriate page of the ledger. Remember, that a document can represent more than one transaction, and each line of accounting data must be treated as a separate transaction. Registration fees on travel orders are considered a purchase rather than a travel expense and ,therefore, should be entered on the miscellaneous ledger page of the purchases section. Also, if the cost center is submitting labor cards or faculty labor certifications to charge a reimbursable account for labor, an obligating entry should be made to the labor page of the reimbursable account ledger.



ACCOUNT OPTAR FY90

RECORD OF TRAVEL ORDERS (TO)

SERIALS/DOCS. 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/5	90TOHD 001 AA	E HD 00	Smith/Anaheim CA - Per Diem						350 00	350 00
2	"	" 001 AB	E HD 00	" " - GTR						102 00	452 00
3											

ACCOUNT OPTAR FY90

RECORD OF MISCELLANEOUS PURCHASES (MD)

SERIALS/DOCS. 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/5	90TOHD 001 AD	Q HD QR	Smith/Anaheim CA - Registrat Fee						185 00	185 00
2	10/12	90MDHD 001	Q HD QH	Honorarium/Dr. Snead						200 00	385 00
3											

Figure 14.5 Obligation Entries

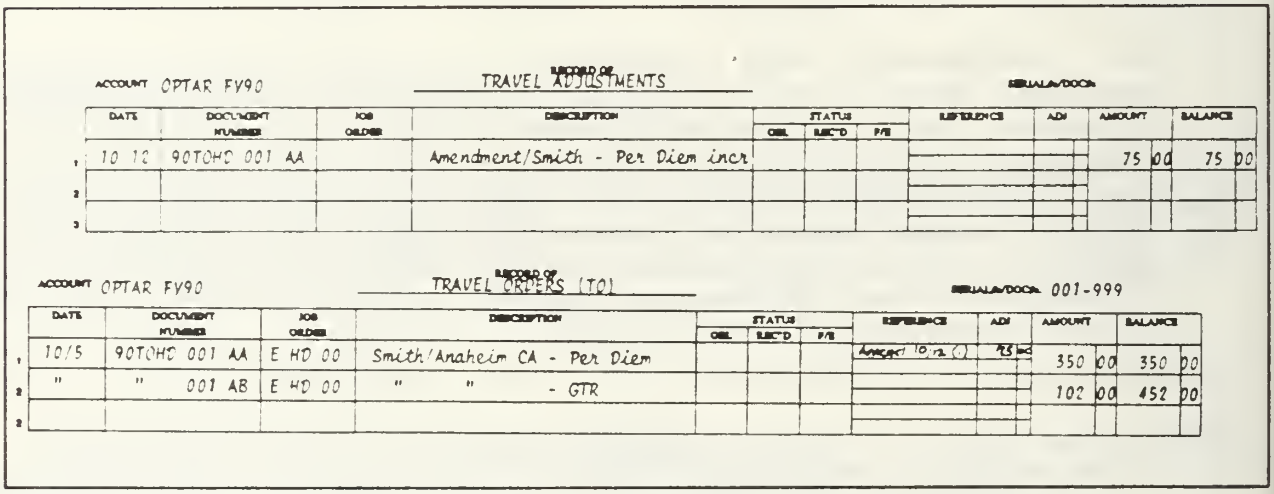
For some obligations, such as honorariums, reimbursement for expenses (SF-1164), and Ready Supply Store bills, the goods and services have already been received at the time of obligation. In such cases, the date of the obligation should be entered in the "REC'D" (received) block. Figure 14.5 provides a sample of these entries.

Copies of the obligating document (requisitions, travel orders) should be file in the Pending file.

3. **Amendment of Travel Orders.** When travel orders are amended, and result in a increase or a decrease in the amount of the obligation, adjustment and reference entries should be made to the ledger as follows (refer to Figure 14.6):

a. **Adjusting Entry.** Make a adjusting entry on the adjustments page the ledger's travel section. A reduction in the amount of the obligation mu be preceded by a minus sign.

b. **Reference Entry.** In the "REFERENCE" block of the original obligating entry, enter the word "AMENDMENT", the date of the modification, and the line number of the adjusting entry (taken from the adjustment page). The amount of the adjustment should be indicated in th "ADJ" column and preceded by a plus or minus sign.



ACCOUNT OPTAR FY90

RECORD OF TRAVEL ADJUSTMENTS

SERIALS/DOCS

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/R				
1	10 12	90TOHD 001 AA		Amendment/Smith - Per Diem incr						75 00	75 00
2											
3											

ACCOUNT OPTAR FY90

RECORD OF TRAVEL ORDERS (TO)

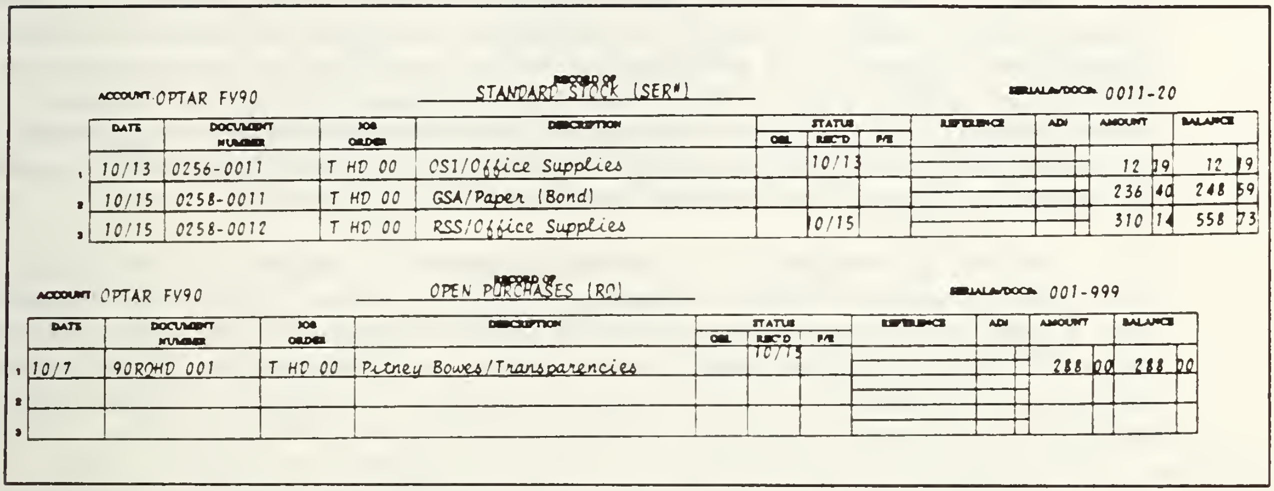
SERIALS/DOCS 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/R				
1	10/5	90TOHD 001 AA	E HD 00	Smith/Anaheim CA - Per Diem				Amend 10/12 (1)	75	350 00	350 00
2	"	" 001 AB	E HD 00	" " - GTR						102 00	452 00
3											

Figure 14.6 Amendment Entry

4. **Receipt of goods or services.** When goods and services are received or when a traveler submits a travel claim, the date of receipt ,or the date of submission, is recorded in the "REC'D" block of the original obligation entry (Figure 14.7). This date should also be annotated on the file copy of the obligatio document. A receipt document, such as a packing slip, should be stapled to the requisition. If the obligation has appeared on the Comptroller monthly report, the document should be moved from the UDO file into the A/P file. However, if the obligation has not appeared on the monthly report, it should be retained in the pending file until it does appears.

There are occasions when only a portion of the goods ordered are actually received, known as a "partial shipment". In these instances, the "REC'D" block should be divided in half and the date of receipt entered in one half of the block. After annotating the date and quantities received and attaching any shipping documents, the file copy of the obligating document should be returned to the UD or Pending file, as appropriate.



ACCOUNT OPTAR FY90 RECORD OF STANDARD STOCK (SER#) SERIAL/DOC. 0011-20

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/13	0256-0011	T HD 00	OSI/Office Supplies		10/13				12 19	12 19
2	10/15	0258-0011	T HD 00	GSA/Paper (Bond)						236 40	248 59
3	10/15	0258-0012	T HD 00	RSS/Office Supplies		10/15				310 14	558 73

ACCOUNT OPTAR FY90 RECORD OF OPEN PURCHASES (RO) SERIAL/DOC. 001-999

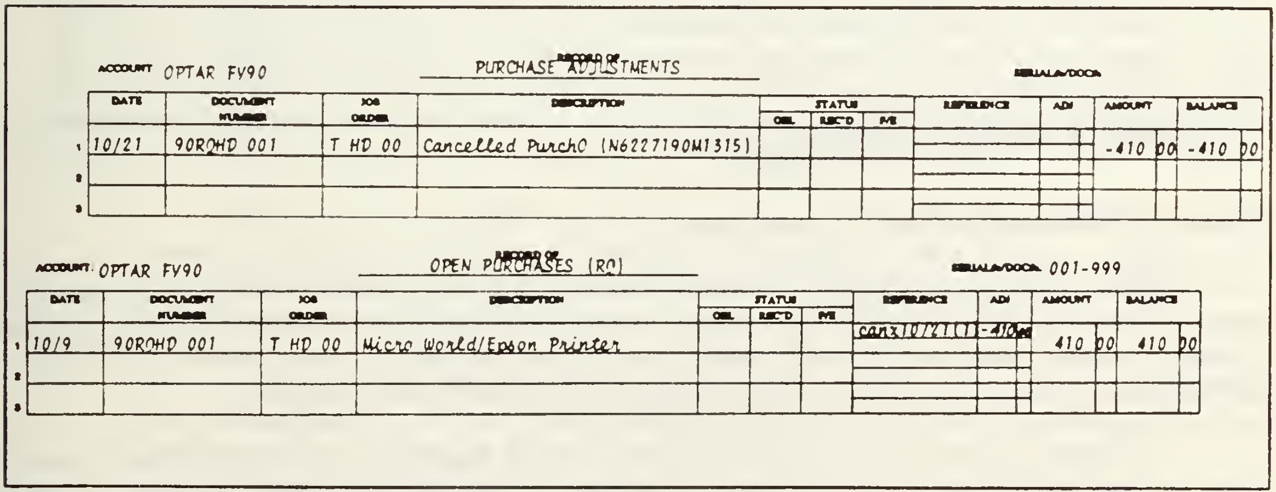
	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/7	90ROHD 001	T HD 00	Pitney Bowes/Transparencies		10/15				288 00	288 00
2											
3											

Figure 14.7 Receipt of Goods Entry

5. **Cancellations.** Occasionally, the cost center will cancel a set of travel orders, or receive a cancelled requisition or purchase order from the Supply Department. In these situations, reversing and reference entries should be made to the ledger as follows
(Figure 14.8):

   a. **Reversing Entry.** Make a reversing entry on the adjustments page of the travel or requisition section, as appropriate. The amount should be preceded by a minus sign to indicate that it is negative.

   b. **Reference Entry.** Enter "CANX", the date of the cancellation and the line number (from the adjustments page) of the reversing entry in the "REFERENCE" block of the original obligating entry. The amount of the cancellation should be precede by a minus sign in the ADJ column.



ACCOUNT OPTAR FY90 RECORD OF PURCHASE ADJUSTMENTS SERIAL/DOC.

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/21	90ROHD 001	T HD 00	Cancelled PurchO (N6227190M1315)						-410 00	-410 00
2											
3											

ACCOUNT OPTAR FY90 RECORD OF OPEN PURCHASES (RO) SERIAL/DOC. 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS			REFERENCE	ADJ	AMOUNT	BALANCE
					OBL	REC'D	P/E				
1	10/9	90ROHD 001	T HD 00	Micro World/Epson Printer				canx10/21(1)	-410 00	410 00	410 00
2											
3											

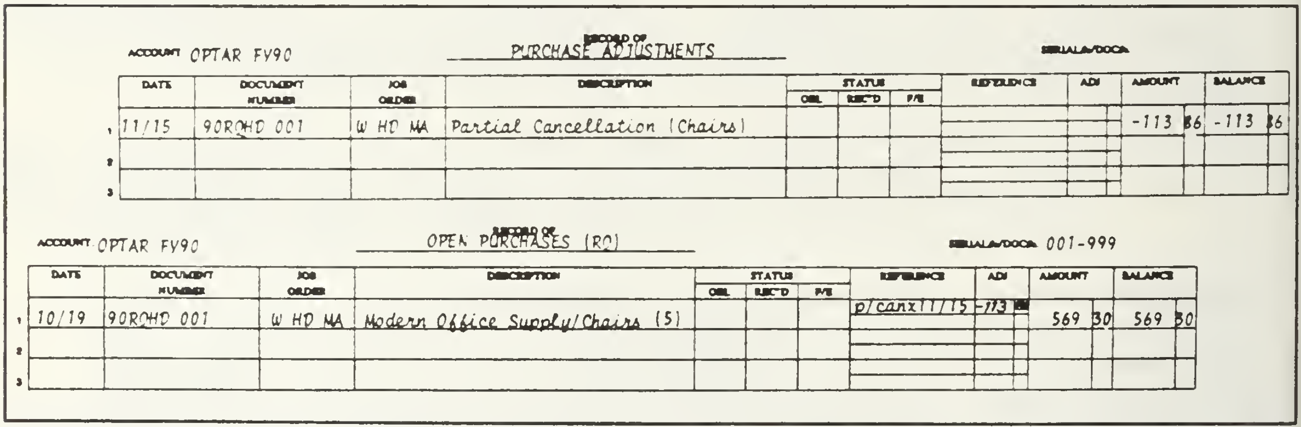
Figure 14.8 Cancellation Entry

To cancel airline tickets, the cost center must contact the PSD Transportation Office. To cancel the obligation of funds, the cost center must forward the original travel orders, along with a cancellation memorandum, to the Comptroller Department. (These actions are explained further in Chapter 6 - Travel Document Preparation.) A copy of the cancelled requisition, purchase orde or cancellation memorandum should be filed in the pending file until it appears o the monthly Comptroller's report.

6. **Partial Cancellations.** In some instances, a supplier may no longer carry or be able to supply all items ordered. When this occurs, the Supply Department uses a copy of the requisition (DD Form 1348) or a modification of the purchase order (DD Form 1155) to notify the cost center and Comptroller of the cancellatio Adjusting and reference entries should be made to the ledger as follows (Figure 14.9):

a. **Adjusting Entry.** Make an adjusting entry on the adjustments pag of the requisition section. The amount of the adjustment should be precede by a minus sign.

b. **Reference Entry.** Enter the abbreviation "P/CANX", the date of the cancellation and the line number of the adjusting entry (taken from the adjustments page) in the "REFERENCE" block of the original obligating entry. The amount of the adjustment should be preceded by a minus sign i the "ADJ" column.



ACCOUNT OPTAR FY90 RECORD OF PURCHASE ADJUSTMENTS SERIAL/DOC#

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS OBL	STATUS REC'D	STATUS P/E	REFERENCE	ADJ	AMOUNT	BALANCE
1	11/15	90RQHD 001	W HD MA	Partial Cancellation (Chairs)						-113 86	-113 86
2											
3											

ACCOUNT OPTAR FY90 RECORD OF OPEN PURCHASES (RQ) SERIAL/DOC# 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS OBL	STATUS REC'D	STATUS P/E	REFERENCE	ADJ	AMOUNT	BALANCE
1	10/19	90RQHD 001	W HD MA	Modern Office Supply/Chairs (5)				p/canx11/15	-113 [illegible]	569 30	569 30
2											
3											

Figure 14.9 Partial Cancellation Entry

Monthly Reconciliation Procedures.

The monthly reconciliation process brings the cost center's local memorandum records into agreement with the official records. While the cost center does not receive a monthly report produced directly from the official records, it does receive the NPS Comptroller's report, which is representative of the official records.

In order to reconcile using the Comptroller's monthly report, personnel must know how to read and interpret the report. Chapter 16 covers this topic in detail. The Comptroller's "Monthly OPTAR Report" and "Reimbursable Report" are produced around the 3rd of each month. Upon receipt of the report, cost centers must reconcile their local ledgers. The reconciliation process can be broken into five phases:

1. **Reconciling the authorizations.**
2. **Reconciling the transactions.**
3. **Reconciling the account balance.**
4. **Posting adjusting entries.**
5. **Taking necessary follow-up action.**

1. **Reconciling the authorizations.** Compare the authorized amounts for travel, OPTAR (purchases), and labor (if applicable) to the authorization balances in the local ledger. If a difference exists, verify the validity of the local ledgers using the fund authorization letters and make the necessary adjustments. If differences still exist, the analyst named on the report should be contacted to resolve the discrepancy. Missing authorization letters must be obtained from the cognizant Line Manager (Dean) or the RAO. If Comptroller records are in error, a memorandum citing the phone conversation should be sent to the Comptroller, via the Line Manager or the RAO, to ensure correction of the error.

2. **Reconciling the transactions.** Reconciling transactions is the most tedious phase in the reconciliation process. Before you begin the process of reconciling individual transactions, you must first create adjustment columns on the Comptroller's monthly report. Draw two columns down the right side of the report, labeling one "+" (plus) and the other "-" (minus), as shown in Figure 14.10.

The reconciliation of transactions entails conducting several simultaneous processes for each transaction: **(a)** verifying the correct posting of the job order number, **(b)** updating the accounting status on the ledger and in the document files, and **(c)** identifying and explaining any differences in the amounts reflected in the local ledgers and monthly reports.

Beginning with the first transaction on the Comptroller's report, match the document number and ACRN (if applicable) on the report to the transaction with the same document number and ACRN in the local ledger. The following steps must be completed for each transaction and applied consistently:

a. Verify the Job Order Number. Ensure the job order number is posted correctly. (This is not required for reimbursable fund accounts.) The job order number identifies various expense categories and is used by the Navy's cost accounting system.

b. Update the Transaction Status. Determine the accounting status of the transaction from the Comptroller's report, and update the status on the ledger and in document files.

(1) When an obligation or cancellation appears on the report for the first time, the file copy of the source document should be taken from the pending file and placed in the appropriate file, i.e., UDO file, A/P file, or F/E file. The date of the report should be recorded in the "OBL" block of the transaction's original ledger entry.

(2) When a final expenditure appears on the report, file documentation should be moved into the F/E file. The date of the report should be entered in the "F/E" block of the transaction's original ledger entry.

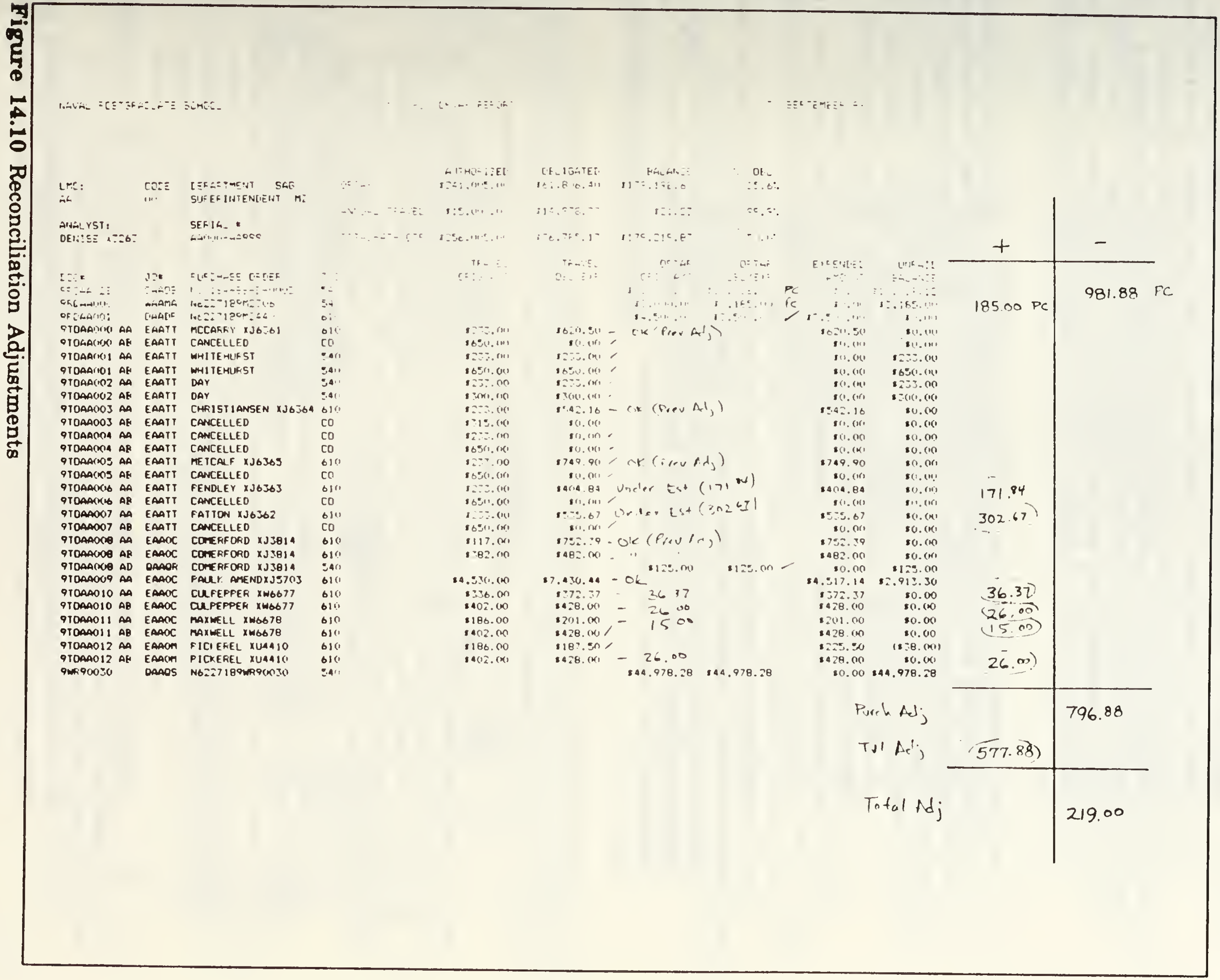
(3) When a partial payment or an unresearched expenditure difference appears on the report, the document should remain in the UDO or A/P file, as appropriate. A note should be made in the Remarks block of the transaction's original ledger entry, indicating the date of report and amount of the expenditure. The "F/E" block should remain open until the final payment is made or the difference is resolved on a subsequent report.

c. **Reconcile differences.** Compare the sum of the amounts in the "AMOUNT" and "ADJ" blocks of the ledger to the amount in the "OBL/EXP" block of the Comptroller's report. If a variation exists, an acceptable explanation for the difference must be determined. In most instances, these differences can be explained by one of the following:

3. **Reconciling the account balance.** After all differences have been explained and determined to be either an "adjustment to the local ledger" or a "discrepancy in the Comptroller's records", the next phase of the reconciliation process can be performed as follows:

a. **Determine the monetary adjustments required for the local ledger.** This involves determining the amount of adjustment required to each section of the local ledger, i.e., purchases, travel, or labor. In the adjustment columns of the Comptroller's report, each category of adjustment must be distinguished by some method. A simple means to distinguish between adjustments, is to draw circles around travel amounts, boxes around labor amounts, and leave purchase amounts unmarked. To determine the total travel adjustment, add all circled amounts in the plus column and subtract all circled amounts in the minus column. The resulting figure should be recorded at the bottom of the columns and labeled travel adjustment. Repeat this procedure for labor (boxed) and purchases (not marked). To check the accuracy of these figures, sum the total travel, labor, and purchase adjustments and compare the result with the sum of the adjustments obtained by totaling the amounts in both columns.

b. **Determine the adjusted total for the Comptroller's report.** Adjust the totals on the report for discrepancies detected in the Comptroller's records.



```
NAVAL POSTGRADUATE SCHOOL            [illegible] REPORT                     [illegible] SEPTEMBER [illegible]

                                                          AUTHORIZED     OBLIGATED      BALANCE     % OBL
LMC:          CODE   DEPARTMENT    SAG      OPTAR         $241,005.00    $61,806.40     $179,198.60  25.6%
AA            00     SUPERINTENDENT  MZ
                                            ANNUAL TRAVEL $15,000.00     $14,978.77     $21.23       99.9%
ANALYST:             SERIAL #
DENISE XT267         [illegible]            TOTAL [illegible] $256,005.00 $76,785.17    $179,219.83  [illegible]

                                                          TRAVEL         TRAVEL        OTHER        OTHER                  EXPENDED     UNPAID
DOC#          JO#    PURCHASE ORDER        [illegible]    ORIG [illegible] OBL EXP      [illegible]  [illegible]            AMOUNT       BALANCE
[illegible]   [illegible] [illegible]      [illegible]                                  [illegible]  [illegible]    PC      [illegible]  [illegible]
9SGAA00[illegible] WAAMA N6227189MZ[illegible] 54                                       [illegible]  $[illegible].165.00 FC $[illegible] $[illegible].165.00
9FDAA00[illegible] DAADF N6227189M[illegible] 61                                        $[illegible] $[illegible]   ✓       $[illegible] $[illegible]
9TDAA000 AA   EAATT  MCCARRY XJ6361        610            $233.00        $620.50 – OK (Prev Adj)                           $620.50      $0.00
9TDAA000 AB   EAATT  CANCELLED             CO             $650.00        $0.00 ✓                                           $0.00        $0.00
9TDAA001 AA   EAATT  WHITEHURST            540            $233.00        $233.00 ✓                                         $0.00        $233.00
9TDAA001 AB   EAATT  WHITEHURST            540            $650.00        $650.00 ✓                                         $0.00        $650.00
9TDAA002 AA   EAATT  DAY                   540            $233.00        $233.00 ✓                                         $0.00        $233.00
9TDAA002 AB   EAATT  DAY                   540            $300.00        $300.00 ✓                                         $0.00        $300.00
9TDAA003 AA   EAATT  CHRISTIANSEN XJ6364   610            $233.00        $542.16 – OK (Prev Adj)                           $542.16      $0.00
9TDAA003 AB   EAATT  CANCELLED             CO             $315.00        $0.00                                             $0.00        $0.00
9TDAA004 AA   EAATT  CANCELLED             CO             $233.00        $0.00 ✓                                           $0.00        $0.00
9TDAA004 AB   EAATT  CANCELLED             CO             $650.00        $0.00 ✓                                           $0.00        $0.00
9TDAA005 AA   EAATT  METCALF XJ6365        610            $233.00        $749.90 ✓ OK (Prev Adj)                           $749.90      $0.00
9TDAA005 AB   EAATT  CANCELLED             CO             $650.00        $0.00 ✓                                           $0.00        $0.00
9TDAA006 AA   EAATT  FENDLEY XJ6363        610            $233.00        $404.84  Under Est (171.84)                       $404.84      $0.00
9TDAA006 AB   EAATT  CANCELLED             CO             $650.00        $0.00 ✓                                           $0.00        $0.00
9TDAA007 AA   EAATT  PATTON XJ6362         610            $233.00        $535.67  Under Est (302.67)                       $535.67      $0.00
9TDAA007 AB   EAATT  CANCELLED             CO             $650.00        $0.00 ✓                                           $0.00        $0.00
9TDAA008 AA   EAAOC  COMERFORD XJ3814      610            $117.00        $752.39 - OK (Prev Adj)                           $752.39      $0.00
9TDAA008 AB   EAAOC  COMERFORD XJ3814      610            $382.00        $482.00 – "                                       $482.00      $0.00
9TDAA008 AD   QAAQR  COMERFORD XJ3814      540                                          $125.00      $125.00 ✓             $0.00        $125.00
9TDAA009 AA   EAAOC  PAULK AMENDXJ5703     610            $4,530.00      $7,430.44 - OK                                    $4,517.14    $2,913.30
9TDAA010 AA   EAAOC  CULPEPPER XW6677      610            $336.00        $372.37 –  36.37                                  $372.37      $0.00
9TDAA010 AB   EAAOC  CULPEPPER XW6677      610            $402.00        $428.00 –  26.00                                  $428.00      $0.00
9TDAA011 AA   EAAOC  MAXWELL XW6678        610            $186.00        $201.00 –  15.00                                  $201.00      $0.00
9TDAA011 AB   EAAOC  MAXWELL XW6678        610            $402.00        $428.00 ✓                                         $428.00      $0.00
9TDAA012 AA   EAAOM  PICKEREL XU4410       610            $186.00        $187.50 ✓                                         $225.50      ($38.00)
9TDAA012 AB   EAAOM  PICKEREL XU4410       610            $402.00        $428.00 – 26.00                                   $428.00      $0.00
9WR90030             QAAQS  N6227189WR90030 540                                         $44,978.28   $44,978.28            $0.00        $44,978.28
```

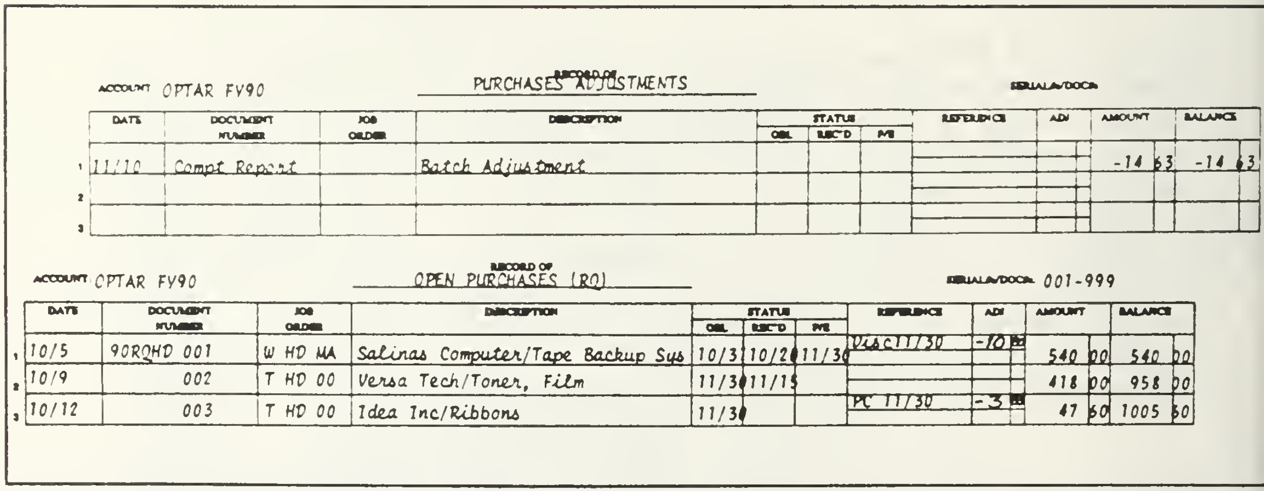
	+	–
	185.00 PC	981.88 PC
	171.84	
	302.67	
	(36.37)	
	(26.00)	
	(15.00)	
	(26.00)	
Purch Adj		796.88
Trvl Adj	(577.88)	
Total Adj		219.00

Figure 14.10 Reconciliation Adjustments

c. **Determine the amount of unposted transactions.** This is analogous to determining the dollar amount of outstanding checks when balancing a checkbook. In each section of the local ledger, sum the amour of the transactions that have not posted to the Comptroller's report. Obligations should be enter as positive and cancellations as negative. The transactions are identified by scanning the "OBL" column. If the "OBL" is blank, the transaction has not appeared on the Comptroller's report. Thes transactions should correspond to the documents that remain in the pendi file.

d. **Balance each section of the ledger.** For each section of the loca ledger, take the balance of the section and add or subtract the correspondi adjustment from the adjustment columns on the Comptroller's report. Car should be taken that the adjustment is made in the right direction, i.e., a positive adjustment is a reduction in the account balance. Next, take the adjusted balance from the Comptroller's report and subtract the amount oftotals are the same for al outstanding documents determined in subparagraph 4 above. If both of these l purchases, travel, and labor, the account is in balance. If the account does not balance, an error was made

4. **Posting adjusting entries.** Once the account is balanced, the adjustme may be "batch" posted to the local ledger. Entries should be made to the adjustment pages of the purchase, travel, and labor sections of the local ledger. Individual reference entries should be made to the original ledger entries of each transaction that made up the total adjustment. Sample entries are shown in Figure 14.11.



ACCOUNT OPTAR FY90 RECORD OF PURCHASES ADJUSTMENTS SERIAL/DOCS

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS OBL	STATUS REC'D	STATUS P/E	REFERENCE	ADJ	AMOUNT	BALANCE
1	11/10	Compt Report		Batch Adjustment						-14 63	-14 63
2											
3											

ACCOUNT OPTAR FY90 RECORD OF OPEN PURCHASES (RQ) SERIAL/DOCS 001-999

	DATE	DOCUMENT NUMBER	JOB ORDER	DESCRIPTION	STATUS OBL	STATUS REC'D	STATUS P/E	REFERENCE	ADJ	AMOUNT	BALANCE
1	10/5	90RQHD 001	W HD MA	Salinas Computer/Tape Backup Sys	10/3	10/2	11/3	Disc 11/30	-10	540 00	540 00
2	10/9	002	T HD 00	Versa Tech/Toner, Film	11/3	11/1				418 00	958 00
3	10/12	003	T HD 00	Idea Inc/Ribbons	11/3			PC 11/30	-3	47 60	1005 60

Figure 14.11 "Batch Adjustment" Entries

5. **Taking necessary follow-up action.** The final steps in the reconciliatio process involve the following:

a. Send a memorandum to the Comptroller Department indicating the discrepancies detected in the Comptroller's report. The memorandum usua references the phone conversation with the analyst and is sent to ensure that corrective action is taken.

b. Take the following actions to identify delinquent transactions:

(1) Delinquent Obligations. Scan the "OBL" column of the local ledger for transactions which have not posted. Examine the date of the transaction to determine if it is delinquent. If the transaction should have posted, the reasons for it not posting should be researched.

(2) Delinquent Orders. Delinquent orders are goods and services that have been ordered, but have not been received within a reasonable amount of time. Although the status of orders should be monitored on a routine basis, the reconciliation process presents an excellent opportunity to identify and research these items. Identify delinquent orders by scanning the "REC'D" block.

(3) Delinquent Expenditures. Delinquent expenditures are transactions involving goods received which have not been paid for within a reasonable amount of time. The government usually pays invoices approximately 30 days after the receipt of goods. Allowing for this 30 day period and the cutoff date of the monthly accounting report, any purchases that appear delinquent might warrant research, especially for high dollar amounts. Identify delinquent expenditures by scanning the "F/E" and "REC'D" columns of the local ledger.

Year-end/Closeout Procedures.

Perhaps the most critical time to have an accurate account balance is near the end of the fiscal year. Because funds are about to expire, a cost center must be careful not to over-obligate funds or let unused funds go to waste. The following procedures will help to ensure the most efficient use of funds near the end of the fiscal year:

1. Validate Undelivered Orders (UDO). The UDO file should be reviewed near the end of the fiscal year. Contact the vendor and/or the Supply Department to determine if the goods have been shipped or if the order has been cancelled. If the vendor is unable to deliver the goods, notify the Supply Department to cancel the order and re-obligate the funds. Any orders cancelled after the fund authority expires cannot be re-obligated.

2. Monitor Travel Obligations. During the last quarter of the fiscal year, estimates for travel orders should be closely monitored. Estimated travel costs are normally "ballpark" figures, which may vary considerably from the actual settlement amounts. Near the end of the fiscal year, this variance may result in an over or under obligation of funds. Cost centers, therefore, should improve their efforts during this period to more accurately estimate travel costs.

3. Reconcile Records. Records should be reconciled every month. Near the end of the fiscal year, the Comptroller Department is occupied in closing out the School's accounts; providing assistance to the cost centers in resolving account discrepancies which occurred earlier in the year is highly unlikely. In other words, don't wait until the end of the fiscal year to reconcile your books!

Closeout Procedures.

While accounting records are usually maintained for a 36 month period, after the year-end report in October, the Comptroller ceases to provide monthly accounting reports for any previous fiscal year's accounts. Without these reports the cost centers can no longer verify the expenditure of funds. Cost centers, however, may still monitor their outstanding orders and should continue to maintain their UDO files until all outstanding orders have been delivered. As discussed in Chapter 3 funds that remain in an obligated status after the two year expenditure availability period lapsed into the "M" account and remain in suspense until obligated. Having funds lapse is frowned upon and cost centers should make every effort to have goods delivered and expended to preclude prior year funds from lapsing.

CHAPTER 15

UNDERSTANDING
the
COMPTROLLER'S MONTHLY REPORT

Introduction.

The Comptroller Department produces a monthly report which reflects the financial information contained in the official records held by the Navy Regional Finance Center, Washington, D.C. The report is usually produced by the 3rd of each month and distributed to the cost centers for the reconciliation of local memorandum accounting records. This Chapter provides a detailed explanation of how to interpret the information contained in the report.

How to Read the Comptroller's Monthly Report.

Due to differences in accounting procedures between reimbursable and OPTAR accounts, the Comptroller's monthly report is produced in one of two formats; the Monthly OPTAR Report or the Reimbursable Report.

Report Title	Accounts involved
Monthly OPTAR Report	Department Operating Funds (OPTAR) Indirect Cost Account Direct Funded Research (DFR) Chair Account (Honorary position)
Reimbursable Report	Reimbursable Research Accounts Other Reimbursable Accounts

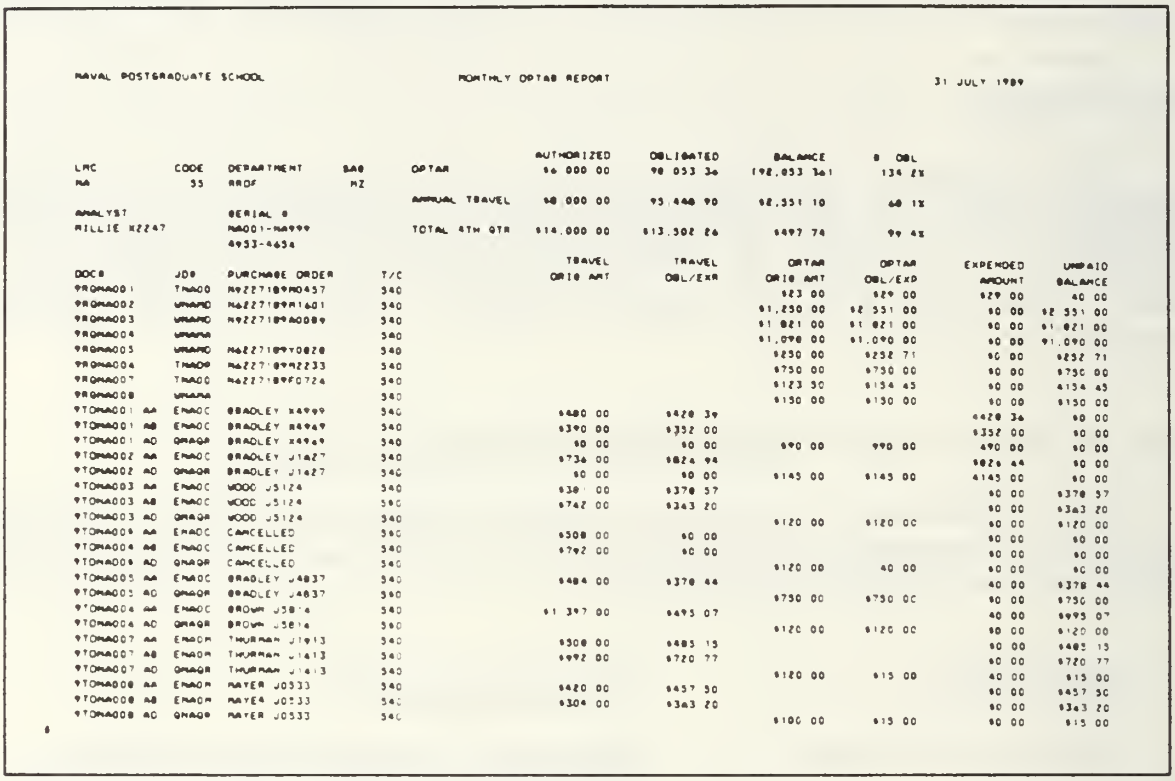
Some cost centers may have accounts that require personnel to be familiar with both report formats; others will require familiarity with only one. Both formats are similar; the major difference being the incorporation of labor costs into reimbursable accounts. The following paragraphs explain how to read each of these reports.

Monthly OPTAR Report.

The Monthly OPTAR Report, illustrated in Figure 15.1, can be divided into three basic parts: account identification, account status, and transaction information.

1. **Account Identification**. The upper left portion of the report provides basic identifying information, i.e., the account holder, the location of account holder, authorized serial and document numbers, and the assigned budget analyst.

2. **Account Status**. The account status, located in the upper right portion of the report, shows the funds authorized, funds obligated and the remaining, or unobligated, balance in the account. As funds spent on travel are restricted, the account is subdivided into travel and OPTAR (other than travel) amounts.



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NAVAL POSTGRADUATE SCHOOL                    MONTHLY OPTAR REPORT                                    31 JULY 1989


                                                                  AUTHORIZED    OBLIGATED      BALANCE     % OBL
LRC          CODE  DEPARTMENT       SAG        OPTAR               $6,000.00    $9,053.36  ($2,053.36)    134.2%
NA             55  RROF              MZ
                                               ANNUAL TRAVEL       $8,000.00    $5,448.90    $2,551.10     68.1%
ANALYST            SERIAL #
MILLIE K2247       MA001-MA999                 TOTAL 4TH QTR      $14,000.00   $13,502.26      $497.74     99.4%
                   4933-4634
                                                                      TRAVEL       TRAVEL        OPTAR       OPTAR      EXPENDED      UNPAID
DOC#           JO#    PURCHASE ORDER    T/C                         ORIG AMT      OBL/EXP     ORIG AMT     OBL/EXP        AMOUNT     BALANCE
9RQMA001       TMA00  N9227189M0457     340                                                     $23.00      $29.00        $29.00       $0.00
9RQMA002       UMAMO  N6227189M1601     340                                                  $1,250.00   $2,551.00         $0.00   $2,551.00
9RQMA003       UMAMO  N9227189A0089     340                                                  $1,021.00   $1,021.00         $0.00   $1,021.00
9RQMA004       UMAMA                    340                                                  $1,090.00   $1,090.00         $0.00   $1,090.00
9RQMA005       UMAMO  N6227189Y0028     340                                                    $250.00     $252.71         $0.00     $252.71
9RQMA006       TMA09  N6227189Q2233     340                                                    $750.00     $750.00         $0.00     $750.00
9RQMA007       TMA00  N6227189F0724     340                                                    $123.50     $134.45         $0.00     $134.45
9RQMA008       UMAMA                    340                                                    $150.00     $150.00         $0.00     $150.00
9TOMA001 AA    EMAOC  BRADLEY K4949     340                          $480.00      $420.39                                $420.36       $0.00
9TOMA001 AB    EMAOC  BRADLEY K4949     340                          $390.00      $352.00                                $352.00       $0.00
9TOMA001 AD    QMAQR  BRADLEY K4949     340                            $0.00        $0.00       $90.00      $90.00        $90.00       $0.00
9TOMA002 AA    EMAOC  BRADLEY J1427     340                          $736.00      $824.94                                $826.44       $0.00
9TOMA002 AD    QMAQR  BRADLEY J1427     340                            $0.00        $0.00      $145.00     $145.00       $145.00       $0.00
9TOMA003 AA    EMAOC  WOOD J5124        340                          $381.00      $378.57                                  $0.00     $378.57
9TOMA003 AB    EMAOC  WOOD J5124        340                          $742.00      $343.20                                  $0.00     $343.20
9TOMA003 AD    QMAQR  WOOD J5124        340                                                    $120.00     $120.00         $0.00     $120.00
9TOMA004 AA    EMAOC  CANCELLED         340                          $508.00        $0.00                                  $0.00       $0.00
9TOMA004 AB    EMAOC  CANCELLED         340                          $792.00        $0.00                                  $0.00       $0.00
9TOMA004 AD    QMAQR  CANCELLED         340                                                    $120.00       $0.00         $0.00       $0.00
9TOMA005 AA    EMAOC  BRADLEY J4837     340                          $484.00      $378.44                                  $0.00     $378.44
9TOMA005 AD    QMAQR  BRADLEY J4837     340                                                    $730.00     $730.00         $0.00     $730.00
9TOMA006 AA    EMAOC  BROWN J5814       340                        $1,397.00      $995.07                                  $0.00     $995.07
9TOMA006 AD    QMAQR  BROWN J5814       340                                                    $120.00     $120.00         $0.00     $120.00
9TOMA007 AA    EMAOR  THURMAN J1413     340                          $500.00      $485.15                                  $0.00     $485.15
9TOMA007 AB    EMAOR  THURMAN J1413     340                          $992.00      $720.77                                  $0.00     $720.77
9TOMA007 AD    QMAQR  THURMAN J1413     340                                                    $120.00      $15.00         $0.00      $15.00
9TOMA008 AA    EMAOR  MAYER J0533       340                          $420.00      $457.50                                  $0.00     $457.50
9TOMA008 AB    EMAOR  MAYER J0533       340                          $304.00      $343.20                                  $0.00     $343.20
9TOMA008 AD    QMAQR  MAYER J0533       340                                                    $100.00      $15.00         $0.00      $15.00
```

Figure 15.1 Monthly OPTAR Report

3. **Transaction Information**. The transaction information section provides detailed accounting information on transactions that have posted to the Comptroller's records. Transactions are sorted on the report by document number and grouped by document type, e.g., "RQ" for open purchases, "TO" for travel orders, etc.

The contents in each column of the report are described below:

COLUMN TITLE	COLUMN CONTENTS
DOC#	This column reflects the document number and Accounting Classification Reference Number (ACRN) used to identify each transaction.
JO#	This column reflects the Job Order Number used by the accounting system to identify the category of expense.

PURCHASE ORDER	This column is used to provide a description of the transaction. For open purchase transactions, it reflects the purchase order number. For other transactions, it indicates the source of supply or the name of the traveler.
T/C	This column identifies the status of the transaction. The codes are: CO = Cancelled Order 540 = Obligation 510 = Obligation (Accounts Payable) 610 = Final Expenditure
TRAVEL ORIG AMT	This column is used to record the original estimate of travel cost. The amounts are adjusted to reflect amendments to the original orders. The amounts do not change, however, as a result of cancelling the original orders or for differences in the amount of final expenditure.
TRAVEL OBL/EXP	This column is a calculation column. The figures represent the amounts actually being charged against the account and sum to the total travel obligated. The amounts are adjusted for amendments, cancellations, and final expenditure differences.
OPTAR ORIG AMT	This column is used to record the amount of the original purchase obligation. Amounts in this column retain their integrity, that is, amounts do not change as a result of subsequent information, such as, price changes, cancellations, or final expenditure differences.
OPTAR OBL/EXP	This column is a calculation column. The figures represent the amounts actually being charged against the account and sum to the total OPTAR obligated. The amounts are adjusted for price changes, cancellations, and final expenditure differences.
EXPENDED AMOUNT	The figures in this column represent funds paid, disbursed, or transferred. For any transaction, if an amount in this column equals an amount in one of the "OBL/EXP" columns, then the transaction is a final expenditure, that is, "paid in full".

2. **Account Status.** The account status, located in the upper right portion of the report, shows funds authorized, funds obligated, and the remaining, or unobligated, balance in the account. Since reimbursable accounts may be charged with labor costs, and may contain a travel ceiling, they are divided into three authorized amounts; labor, travel and OPTAR.

3. **Transaction Information.** The transaction information section provides detailed accounting information on transactions that have posted to the Comptroller's records. Transactions are sorted on the report, by document number and grouped by document type, e.g., "RQ" for open purchases, "TO" for travel orders, etc.

The contents in each column of the report are described below:

COLUMN TITLE	COLUMN CONTENTS
DOC# ACCRN	This column reflects the document number and Accounting Classification Reference Number (ACRN) used to identify each transaction.
P.O.#/DOV#	This column is used to provide a description of the transaction. For open purchase transactions, it reflects the purchase order number. For other transactions, it indicates the source of supply, the name of the traveler or the pay period ended.
LABOR OBL/EXP	This column is a calculation column. It is used to record the labor charges computed using the appropriate acceleration rate. These expenses should be considered a final expenditure. If they are erroneous, contact the budget analyst. The amounts sum to the "LABOR CHARGED TO DATE" amount in the account status section.
TRAVEL ORIG AMT	This column is used to record the original estimate of travel cost. The amounts are adjusted to reflect amendments to the original orders. The amounts do not change, however, as a result of cancelling the original orders or for differences in the amount of final expenditure.
TRAVEL OBL/EXP	This column is a calculation column. The figures represent the amounts actually being charged against the account and sum to the total travel obligated. The amounts are adjusted for amendments, cancellations, and final expenditure differences.

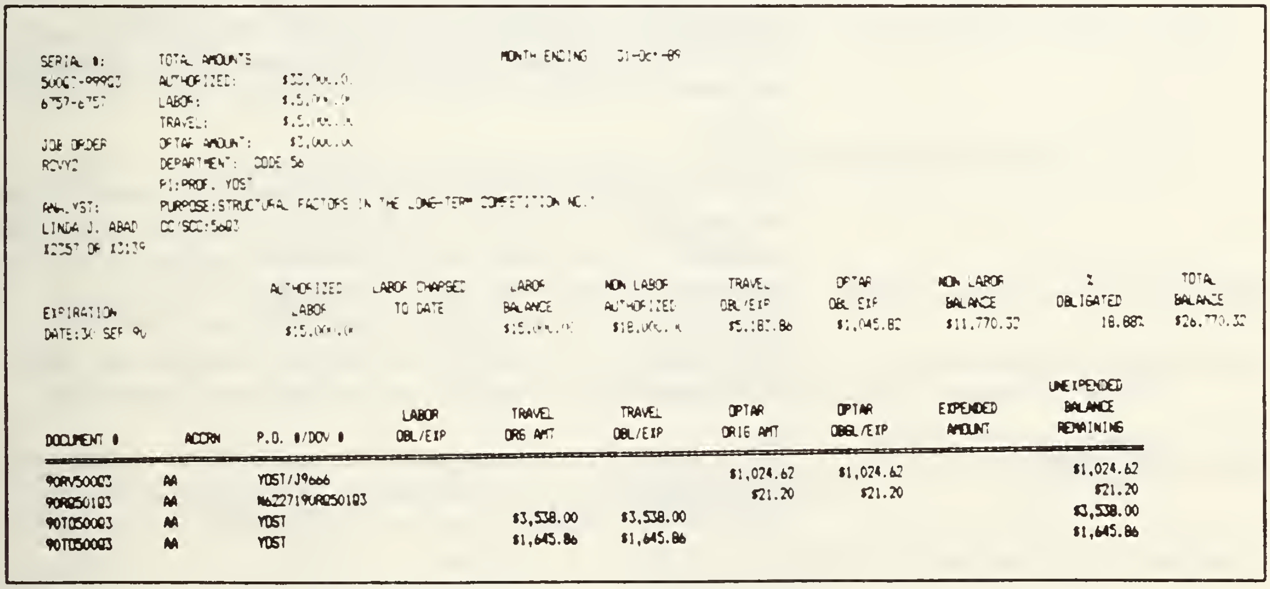
If the amount in this column is less than the amount in the "OBL/EXP" column, then the payment is a partial payment and the transaction remains in an obligated status.

If the amount in this column exceeds the "OBL/EXP" amount, it is considered an over-expenditure and is pending research by the Comptroller Department. The amount in the "OBL/EXP" column will remain as an obligation, until the Comptroller makes an adjustment to either the "OBL/EXP" amount or the "EXPENDED AMOUNT".

UNPAID BALANCE	The amount in this column is the difference between the "OBL/EXP" amount and the "EXPENDED AMOUNT".

Reimbursable Report.

Like the Monthly OPTAR Report, the Reimbursable Report can be divided into three basic parts: account identification, account status, and transaction information. The Reimbursable Report is depicted in Figure 15.2.



```
SERIAL #:        TOTAL AMOUNTS                              MONTH ENDING    31-Oct-89
50007-99903      AUTHORIZED:      $33,000.00
6757-6757        LABOR:           $15,000.00
                 TRAVEL:          $15,000.00
JOB ORDER        OPTAR AMOUNT:     $3,000.00
RCVY2            DEPARTMENT:  CODE 56
                 PI:PROF. YOST
ANALYST:         PURPOSE:STRUCTURAL FACTORS IN THE LONG-TERM COMPETITION NO.
LINDA J. ABAD    CC/SCC:5603
X2257 OR X3139

                     AUTHORIZED   LABOR CHARGED   LABOR       NON LABOR    TRAVEL      OPTAR       NON LABOR       %         TOTAL
EXPIRATION             LABOR        TO DATE       BALANCE     AUTHORIZED   OBL/EXP     OBL EXP     BALANCE      OBLIGATED    BALANCE
DATE:30 SEP 90       $15,000.00                   $15,000.00  $18,000.00   $5,183.86   $1,045.82   $11,770.32      18.88%  $26,770.32

                                                                                                               UNEXPENDED
                                            LABOR      TRAVEL      TRAVEL      OPTAR       OPTAR      EXPENDED    BALANCE
DOCUMENT #      ACCRN    P.O. #/DOV #       OBL/EXP    ORG AMT     OBL/EXP     ORIG AMT    OBGL/EXP   AMOUNT      REMAINING
================================================================================================================================
90RV50003       AA       YOST/J9666                                            $1,024.62   $1,024.62              $1,024.62
90RQ50103       AA       N6227190RQ50103                                          $21.20      $21.20                 $21.20
90TO50003       AA       YOST                          $3,538.00   $3,538.00                                      $3,538.00
90TO50003       AA       YOST                          $1,645.86   $1,645.86                                      $1,645.86
```

Figure 15.2 Reimbursables Report

1. **Account Identification.** The upper left portion of the report provides basic identifying information, i.e., the job order number, the account holder, the location of account holder, the purpose of the account and the assigned budget analyst. It is important to note the expiration date, which may or may not correspond to the end of the fiscal year.

OPTAR ORIG AMT	This column is used to record the amount of the original purchase obligation. Amounts in this column retain their integrity, that is, amounts do not change as a result of subsequent information, such as, price changes, cancellations, or final expenditure differences.
OPTAR OBL/EXP	This column is a calculation column. The figures represent the amounts actually being charged against the account and sum to the total OPTAR obligated. The amounts are adjusted for price changes, cancellations, and final expenditure differences.
EXPENDED AMOUNT	The figures in this column represent funds paid, disbursed or transferred, for TRAVEL and OPTAR transactions only. Labor costs post to the "LABOR OBL/EXP" column as a final expenditure and are not reflected in this column. For any transaction, if an amount in this column equals an amount in the "TRAVEL OBL/EXP" or "OPTAR OBL/EXP" columns, then the transaction is a final expenditure, that is, "paid in full". If the amount in this column is less than the amount in either the "TRAVEL OBL/EXP" or "OPTAR OBL/EXP" columns, then the payment is a partial payment and the transaction remains in a obligated status. If the amount in this column exceeds the amount in either the "TRAVEL OBL/EXP" or "OPTAR OBL/EXP" columns, it is considered an over-expenditure and is pending research by the Comptroller Department. The amount in the "TRAVEL OBL/EXP" and "OPTAR OBL/EXP" columns will remain as obligations, until the Comptroller makes the necessary adjustments.
UNPAID BALANCE	The amount in this column is the difference between the amounts in the respective "OBL/EXP" columns (excluding LABOR) and the "EXPENDED AMOUNT".

Interpreting the Comptroller's Monthly Report.

To interpret the Comptroller's Monthly Report, an understanding of how information is entered into the report is required. The most important thing in interpreting the report, is that the "OBL/EXP" block is the *actual* amount being charged against the account. To understand and interpret the report, familiarity with the functions of three columns is necessary; the "ORIG" column (whether Travel or OPTAR), the "OBL/EXP" column, and the "EXPENDED" column.

The Comptroller enters an initial obligation into the "ORIG" column and the "OBL/EXP" column. It is entered in the "ORIG" column to record the original amount of the obligation. The figures in this column do not change, except in the case of an amendment to travel orders where the obligation is adjusted for the amount of the amendment. The obligation is entered in the "OBL/EXP" column to charge the account, as this is a calculation column.

Any subsequent change to an obligation, such as a *price change*, is recorded in the "OBL/EXP" column. The amount in the "ORIG" column retains its integrity, i.e., it is not changed.

Expenditures post to the "EXPENDED" column of the Comptroller's report. If the amount entered in the "EXPENDED" column agrees with the "OBL/EXP" column, then the transaction is a *final expenditure*. However, if the amount entered in the "EXPENDED" column does not agree with the "OBL/EXP" column, then an *expenditure difference* exists. Expenditure differences are common for travel transactions, due to the difficulty in estimating actual travel expenses. Expenditure differences for purchases, are usually the result of discounts offered by the supplier for early payment. The Comptroller researches expenditure differences that exceed $10. If the expenditure difference is less than $10, or if it is greater than $10 and the Comptroller determines the differences to be valid, then the "OBL/EXP" is adjusted to agree with the "EXPENDED" amount.

Some examples of amounts that might appear on the Comptroller's report (and their interpretation) are shown in the table below:

ORIG	OBL/EXP	EXPENDED	PROBABLE EXPLANATION
100.00	100.00		Obligation
100.00	95.00		Price change - $5.00, account charged $95.00
100.00	100.00	54.00	Partial payment; unresearched expenditure difference, account charged $100.00
100.00	100.00	129.00	Unresearched expenditure difference, account charged $100.00
100.00	98.00	98.00	Discount of 2%, final expenditure, account charged $98.00
100.00	134.00	134.00	Researched expenditure difference, account charged $134.00

APPENDIX A

Glossary

ACCELERATED LABOR RATE - Labor expense recorded in such a manner that as an employee works one straight time hour, the expense will equal the employee's actual wage, plus an "acceleration" percentage to cover the cost of anticipated leave and fringe benefits.

ACCOUNTING CLASSIFICATION - A code used to provide a uniform system of accumulating and reporting information related to public voucher disbursements/refunds.

ACCOUNTS PAYABLE - Amounts due the public, or other U.S. Government agencies, for material and service received, wages earned, and fringe benefits unpaid. This may include amounts billed, or billable, under contracts for progress payments, earnings of contractors held back, or amounts due upon actual deliveries of goods and services.

ACCOUNTS RECEIVABLE - Amounts due from debtors on open accounts. Under appropriated funds, amounts due from debtors for reimbursements earned or for appropriation refunds due.

ACCRUAL ACCOUNTING - Accrual accounting recognizes, in the books and records of account, the significant and accountable aspects of financial transactions, or events, as they occur. Under this basis, the accounting system provides a current systematic record of changes in assets, liabilities and sources of funds resulting from the incurrence of obligations and costs and expenses, the earning of revenues, the receipts and disbursement of cash, and other financial transactions.

ACTIVITY/SUBACTIVITY GROUP (AG/SAG) - Basic purpose for which an activity proposes to spend money (i.e., Station Operations, F3).

ADMINISTERING OFFICE (Major Claimant) - The office, bureau, systems command, or headquarters assigned responsibility for budgeting, accounting, reporting, and controlling obligations and assigned expenditures for programs financed under appropriation(s) or subdivisions of an appropriation. The responsibility is assigned by the "Responsible Office."

ADMINISTRATIVE LIMITATION - A limitation imposed within an administrative agency upon the use of an appropriation or other fund having the same effect as a fund subdivision in the control of obligations and expenditures.

AGENCY - Any department, office, commission, authority, administration, board, Government-owned corporation, or other independent establishment of any branch of the Government of the United States.

ALLOCATION - An authorization, by a designated official of a component of the Department of Defense, making funds available within a prescribed amount to an operating agency for the purpose of making allotments (i.e., the first subdivision of an apportionment).

ALLOTMENT - The authority, expressed in terms of a specific amount of funds, granted by competent authority to commit, obligate and expend funds for a particular purpose. Funds designated for general operations were previously provided as Operating Budgets

(OPBUD). The term Operating Budget has been eliminated and allotments now refer to any appropriated funds distributed to a Fund Administering Activity

Each allotment's funds must be separately accounted for. Obligation and expenditure of the funds may not exceed the amount specified in the allotment, and the purpose for which the authorization is made must be adhered to. All allotments must be accounted for until the appropriation lapses, or until all obligations are liquidated, whichever occurs first.

ANNUAL/ONE YEAR APPROPRIATION - An appropriation available for incurring obligations only during the fiscal year specified in the Appropriation Act.

ANTI-DEFICIENCY ACT, 31 UNITED STATES CODE 1341, 49-50; 1512-14, 17-19 (formerly part of Section 3679, Revised Statutes) - The salient features of this Act include:

(1) Prohibitions against authorizing or incurring obligations or expenditures in excess o amounts apportioned by the Office of Management and Budget or in excess of amounts permitted by agency regulations;
(2) Establishment of procedures for determining the responsibility for violations and fo reporting violations to the President, through the Office of Management and Budget, and to the Congress;
(3) Provisions for penalties that may include removal from office, a $5,000 fine, or imprisonment for two years; and
(4) Requirements for the apportionment of appropriations, funds or contract authority.

APPEAL - Alternative term for reclama; usually used in communications with congressional committees.

APPORTIONMENT - A determination made by the Office of Management and Budget, which limits the amount of obligations or expenditures which may be incurred during a specified time period (normally by fiscal year quarters for O&M,N funds). An apportionment may limit all obligations to be incurred during the specified period or it may limit obligations to be incurred for a specific activity, function, project, object, or a combination thereof.

APPROPRIATION - A part of an appropriation act providing a specific amount of funds to be used for designated purposes. Appropriations are divided into budget activities and further divided into subactivities, programs, projects and elements of expense.

APPROPRIATION ACT - An act under the jurisdiction of an appropriations committee, which provides funds for federal programs. There are 13 regular appropriation acts. Congress also passes supplemental appropriation acts when required.

APPROPRIATION LIMITATION - A statutory limitation within an appropriation which cannot be exceeded by incurring obligations or expenditures.

APPROVED PROGRAMS - Resources or data reflected in the latest Five Year Defense Program (FYDP).

ASSETS - Anything owned having monetary value. Property, both real and personal, including notes, accounts, and accrued earnings or revenues receivable; and cash or its equivalent.

AUDIT - The systematic examination of records and documents to determine:

(1) Adequacy and effectiveness of budgeting, accounting, financial and related policies and procedures;
(2) Compliance with applicable statutes, regulations, policies and prescribed procedures;

(3) Reliability, accuracy and completeness of financial and administrative records and reports; and
(4) The extent to which funds and other resources are properly protected and effectively used.

AUTHORIZATION - Basic substantive legislation enacted by Congress that sets up, or continues, the legal operation of a federal program or agency. Such legislation is normally a prerequisite for subsequent appropriations, but does not usually provide budget authority.

AUTHORIZATION ACCOUNTING ACTIVITY - An activity designated by the Comptroller of the Navy to perform accounting for another shore activity.

BALANCED BUDGET - A budget in which receipts are equal to or greater than outlays.

BASE YEAR - Fiscal year basis of cost estimates.

BUDGET - A plan of operations for a fiscal period in terms of:

(1) Estimated costs, obligations and expenditures;
(2) Source of funds for financing including anticipated reimbursements and other resources; and
(3) History and workload data for the projected programs and activities.

BUDGET AMENDMENT - A proposal submitted to the Congress by the President after his formal budget transmittal, but prior to completion of appropriation action by the Congress, that revises his previous budget request.

BUDGET AUTHORITY - Authority provided by law to enter into obligations which generally result in immediate or future outlays of Government funds. The basic forms of budget authority are: appropriations, contract authority and borrowing authority.

BUDGET CALL - Budget planning guidance provided from higher authority, down the chain of command.

BUDGET DEFICIT - The amount by which the Government's budget outlays exceed its budget receipts for any given period. Deficits are financed primarily by borrowing from the public.

BUDGET EXECUTION - The accomplishment of the plan prepared during budget formulation. It is the process established to achieve the most effective, efficient, and economical use of financial resources in carrying out the program for which the funds were approved.

BUDGET FORMULATION - A process which incorporates those actions performed in the development, review, justification and presentation of budget estimates.

BUDGET PROJECTS - Commodity groups for navy stock fund material.

BUDGET REQUEST - The actual budget that is submitted up the, chain of command.

BUDGET SURPLUS (+) OR DEFICIT (-) - The difference between budget receipts and outlays.

BUDGET YEAR - The year following the current fiscal year for which the budget estimate is prepared. For example, if the current fiscal year is Fiscal Year 1989, the budget year would be Fiscal Year 1990.

CEILING - A maximum amount of an appropriation imposed by Congress which is designated for a specific purpose, (i.e., travel funding).

CIVIL SERVICE - The term commonly used to describe service performed for the federal government by employed civilians who have competitively attained their positions and who may gain tenure by continuing satisfactory performance.

CIVILIAN PERSONNEL CEILING - Maximum number of civilians which may be employed full-time as determined by appropriate authority. The full-time equivalent of part-time employment, expressed in man-months, is included in the ceiling.

CLOSED APPROPRIATION ACCOUNT - An appropriation account, the balance of which has been transferred to the Successor "M" Account or to surplus. The appropriation recorded in the account is lapsed.

COMMITMENT - A firm administrative reservation of funds based upon firm procurement directives, orders, requisitions, authorizations to issue travel orders, or requests which authorize the recipient to create obligations without further recourse to the official responsible for certifying the availability of funds. The act of entering into a commitment is usually the first step in the process of spending available funds. The effect of entering into a commitment and the recording of that commitment on the records of the allotment is to reserve funds for future obligations. A commitment is subject to cancellation by the approving authority if it is not already obligated. Commitments are not required under O&M appropriations.

COMMON SERVICE - Nonreimbursable service that has been directed or agreed upon between or among DOD components at the department level.

COMMON USE FACILITY - A building or structure in which space is used concurrently by both supplier and receiver.

CONCURRENT RESOLUTION ON THE BUDGET - A resolution passed by both Houses of Congress, but not requiring the signature of the President; sets forth, reaffirms or revises specified congressional budget totals, for the federal government, for a fiscal year.

CONGRESSIONAL BUDGET - The budget as set forth by Congress in a concurrent resolution on the budget. These resolutions include:

(1) The appropriate level of total budget outlays and total new budget authority;
(2) An estimate of budget outlays and new budget authority for each major functional category; for contingencies, and for other categories;
(3) The amount of the surplus or deficit in the budget (if any);
(4) The recommended level of federal revenues; and
(5) The appropriate level of the public debt.

CONSIGNMENTS (PREVIOUSLY UNFILLED REQUISITIONS) - The Request for Contractual Procurement (NAVCOMPT Form 2276) which does not obligate the requestor's funds until the copy of the procurement document is received.

CONSOLIDATED GUIDANCE - Annual guidance issued by the Secretary of Defense which provides policy guidance, specific programming guidance and fiscal constraints that must be observed by the military departments, defense agencies, and the Joint Chiefs of Staff in the formulation of force structures and five year defense programs, and by the Secretary of Defense staff in reviewing proposed programs.

CONTINUING OR NO-YEAR APPROPRIATION - An appropriation which is available for incurring obligations for an indefinite period of time. Revolving funds are included in this classification.

CONTINUING RESOLUTION - Congressional action to provide budget authority for specific ongoing activities when the regular fiscal year Appropriation Act has not been enacted by the beginning of the fiscal year. The continuing resolution usually specifies a maximum rate at which the agency may incur obligations and is sometimes based on the rate of spending of the prior year.

CONTROL NUMBERS - Planning limits provided by a major claimant or a local comptroller to a subordinate activity or department, providing an estimate of the next year's resources.

COST ACCOUNT - Accounts established to classify transactions, according to the purpose of the transactions. Cost
account codes are also used to identify uniformly the contents of management reports.

COST ACCOUNT CODES (CAC) - An accounting classification which states specific aspects of functions (i.e., Purchased Electricity [8350]).

COST ACCOUNTING - Provides information as to who has spent resources and for what purpose.

COST-BASED BUDGET - A budget based on the cost of goods and services actually to be received during a given period whether paid for before the end of the period or not. Not to be confused with an expenditure-based budget, which is based on the cost of goods and services received and actually paid for.

COST CENTER - A cost center is a subdivision of a field activity or a fund administering activity. An individual cost center is a group of homogenous service functions, processes, machines, product lines, professional and/or technical skills, etc. It is an organizational entity for which identification of costs is desired and which is amenable to cost control through one responsible supervisor.

CROSS SERVICE - Support performed by one activity for which payment is required from the activity receiving the support.

CURRENT YEAR - The fiscal year in progress.

DEFERRAL OF BUDGET AUTHORITY - An action of the President that temporarily withholds, delays or precludes the obligation or expenditure of budget authority. A deferral must be reported by the President to Congress in a deferral message. The deferral can be overturned if either house passes a resolution disapproving it. A deferral may not extend beyond the end of the fiscal year in which the message reporting it is transmitted to Congress.

DEFICIENCY APPROPRIATION - An act passed after a fiscal year has expired, to increase funds available so that the appropriation has a positive balance, and can lapse to the successor, or "M" account.

DEOBLIGATION - A downward adjustment of previously recorded obligations. This may be attributable to cancellation of a project or contract, price revisions or corrections of amounts previously recorded as obligations.

DEPARTMENT OF THE NAVY FIVE-YEAR PROGRAM (DNFYP) - The Navy's official programming document, this publication consists of volumes or booklets and displays the Navy's portion of the Five-Year Defense Program (FYDP). SECDEF approved forces, manpower and financial data are given for each Navy Program Element for the current, budget and program years.

DIRECT COSTS - Direct costs are cost incurred directly for and are readily identifiable to specific work or work assignments.

DIRECT REIMBURSABLE - One of two types of Reimbursable Work Orders (RWOs) which become part of an activity's gross operating budget. This type includes RWOs for nonrecurring products, or services which are not part of providing for the activity's mission, and for which no regular work units are budgeted. The exact cost of the product service will be charged to the RWO from the receiving activity.

DISBURSEMENTS - In budgetary usage, gross disbursements represent the amount of checks issued, cash or other payment made less refunds received. Net disbursements represent gross disbursements less income collected and credited to the appropriation or fund account, such as amounts received for goods and services provided.

DOD PLANNING/PROGRAMMING/BUDGETING SYSTEM (PPBS) - An integrated system for the establishment, maintenance and revision of the FYDP and the DOD budget.

ECONOMY ACT ORDER - An order executed for materials, work or services to be furnished by one activity for another under the authority and limitations of the Economy Act (31 U.S. Code 1535).

EXECUTION - The operation of carrying out a program as contained in the approved budget. Often referred to as "Budget Execution."

EXPENDITURE - A charge against available funds. It is evidenced by voucher, claim, or other document approved by competent authority. Expenditure represents the actual payment of funds.

EXPENDITURE AVAILABILITY PERIOD - The expenditure availability period begins upon completion of the obligational availability period. It lasts two years, during which the accounting records must be maintained and no new obligations may be created.

EXPENSES - Costs of operation and maintenance of activities on the accrual accounting basis. Expenses include, but are not limited to, the cost of:

(1) civilian personnel services;
(2) military personnel services;
(3) supplies and material consumed or applied;
(4) travel and transportation of personnel;
(5) rental of facilities and equipment;
(6) equipment (having a value of less than $15,000) and
(7) services received (purchased utilities, leased communications, printing and reproduction, and other). The cost of minor construction of a value of $200,000 or less is included as an expense.

EXPENSE ELEMENT - An expense element identifies the type of resource being consumed in the functional/subfunctional category or program element. These are listed and defined by NAVCOMPT Manual, Volume 2.

EXPENSE LIMITATION - The financial authority issued by a claimant to an intermediate level of command is an expense limitation. Amounts therein are available for issuance of operating budgets to fund administering activity.

EXPENSE TYPE APPROPRIATIONS - Appropriations that finance the cost of ongoing operations. Within DOD they are normally broken down into two main subcategories: operations and maintenance, and military personnel.

EXPIRED APPROPRIATION - An appropriation which is no longer available for obligation, but is still available for disbursement to liquidate existing obligation.

FENCES - Explicit limitations (ceilings and floors) on uses of funds provided in the appropriation act by Congress.

FINANCIAL INFORMATION PROCESSING CENTER (FIPC) - A financial services organization whose mission is to provide authorization accounting and reporting for: operating budgets and allotments, commercial bill paying, disbursing, civilian payroll, plant property accounting and financial reporting of cash transactions for customer activities.

FISCAL YEAR (FY) - Accounting period beginning 1 October and ending 30 September of the following year. The fiscal year is designated by the calendar year in which it ends Fiscal Year 1990 begins on 1 October 1989 and ends 30 September 1990.

FISCAL POLICY - Federal policies on taxes, spending and debt management, intended t promote the nation's goals, particularly with respect to employment, gross national product, inflation and balance of payments. The budget process is a major vehicle for determining and implementing fiscal policy.

FIVE-YEAR DEFENSE PROGRAM (FYDP) - The FYDP summarizes all approved programs of the entire Department of Defense. Resources or inputs required for five year are combined with military outputs of programs for the same period. The FYDP is expressed in terms of programs, program elements and resource categories.

1. Mission Operations
2. Administration
3. Supply Operations
4. Maintenance of Material
5. Property Disposal
6. Medical Operations
7. Base Services
8. Maintenance of Real Property
9. Utility Operations
10. Other Engineering Support
11. Minor Construction
12. Personal Support

FIXED PRICE (FP) - A dollar amount upon which two government activities agree that a service will cost. Once agree, the service must be provided by the servicing activity at that price regardless of what it costs the servicing activity to perform the service. The purpose of such pricing is to reduce accounting costs. Such prices should not be based upon "ball park estimates," only upon knowledge of the total job. A form of fixed price is a unit rate per hour, day or month charged for Materials Handling Equipment (MHE) or service. Such unit rates are computed at least semi-annually upon a basis of actual cost. It may be a Reimbursable Work Order (RWO) accepted for a stated amount to be billed upon completion of the RWO. Expenses incurred in excess of, or for less than, the agreed amount will constitute a gain or loss to the performing Expense Operating Budget.

FLOOR - A minimum amount of an appropriation imposed by Congress which is designated for a specific purpose, (i.e., Maintenance of Real Property).

FRINGE BENEFITS (FRINGE) - The cost of the government's share of a civilian employee's retirement, life insurance, health insurance, social security, and thrift savings plans.

FUNCTIONAL CLASSIFICATION - A system of classifying budget resources by major purpose so that budget authority, outlays and credit activities can be related in terms of the national needs being addressed (e.g., national defense, health) regardless of the agency administering the program. A function may be divided into two or more subfunctions, depending upon the complexity of the national need addressed by that function.

FUNCTIONAL MANAGER - A person (manager) responsible for a specific area, such as Financial Inventory, Stock Material Sales, Housing and Utility Costs, Flying Hour Costs, Ship Overhaul, Steaming Hour Reports, etc.

FUNCTIONAL/SUBFUNCTIONAL CATEGORY (F/SFC) - Subfunctional categories are more detailed grouping within the functional category grouping. They are used to accumulate expenses separately for various functions encompassed by a single functional category. Combined they provide a classification which states what functions will be performed (i.e., Administration [D1]).

FUND ADMINISTERING ACTIVITY (FAA) - Refer to Responsibility Center.

FUND AVAILABILITY - The amount of obligational authority in a fund or fund subdivision.

FUND SUBDIVISION - A segment of an appropriation or other fund, created by funding action as an administrative means of controlling obligations and expenditures within an agency.

FUNDED REIMBURSEMENT - A reimbursement in which the performing activity receives a written order.

GENERAL EXPENSES - Costs incurred by general cost centers which are not incurred for, and are not readily identifiable with, specific direct job orders and which are not included in the indirect expense of the direct cost centers.

GENERAL LEDGER - The general ledger is the book of accounts in which all accounting entries are ultimately summarized. It is maintained by an authorization accounting activity for each operating budget/allotment holder. It is designed so that summary reports of all financial transactions can be readily prepared for management.

GROSS ADJUSTED OBLIGATIONS - The sum of all liquidated and unliquidated obligations.

GROSS DISBURSEMENTS - Represents the amount of checks issued, cash or other payments made, less funds received.

HOST ACTIVITY - The activity that provides facilities to another activity and may supply services.

IMPOUNDMENT - Any action or inaction by an officer or employee of the Federal Government that precludes the obligation or expenditure of budget authority provided by the Congress.

IMPREST FUND - Fixed amount of cash used to make minor expenditures for local commercial purposes. Payments from the fund are reimbursed from time to time to maintain a fixed amount in the fund.

INCREMENTAL FUNDING - Providing budget authority for those obligations which are expected to be incurred in a given fiscal year.

INDIRECT EXPENSE - Indirect expenses are costs incurred by direct cost centers which are not incurred directly for and are not readily identifiable with specific job orders established for the accomplishment of assigned work.

INDUSTRIAL FUND - A revolving fund established at industrial type activities, where products or services are provided to external users. The purpose of the fund is to provide a more effective means of controlling costs; establish a flexible means for financing, budgeting and accounting; encourage the creation of buyer-seller relationships; place budgeting and accounting on a more commercial basis; and encourage cross-servicing between military departments. Charges to the fund are made for procurement of materials, services and labor. The fund is reimbursed by proceeds from the sale of products and services.

INDUSTRIAL PLANT EQUIPMENT - Equipment with a value of at least $5,000 that cuts, abrades, bends or otherwise reshapes or reforms materials.

INPUT BUDGETING - A budgetary method which focuses on the cost of the objects or inputs.

INTEGRATED DISBURSING AND ACCOUNTING (IDA) - Processing system designed to improve the Navy's current accounting and disbursing systems. The IDA system incorporates the use of integrated data bases for concurrent accounting and expensing transactions.

INTERNAL AUDIT - The independent appraisal activity within an organization for the review of the accounting, financial, and related operations as a basis for protective and constructive services to management.

INTERSERVICE SUPPORT - Support provided by one Federal Agency, or subdivision thereof, to another Federal Agency, or subdivision thereof, when at least one of the participating agencies or subdivisions is the Department of Defense, or a DOD component.

INTRASERVICE SUPPORT - Action on the part of one activity to provide support to another activity within the same DOD component or other federal agency.

INVESTMENT-TYPE APPROPRIATIONS - Appropriations for investment type items as opposed to ongoing operations. The investment category is essentially split into two areas: procurement and military construction.

INVOICE - This term includes contractor requests for payment, travel claims and other miscellaneous vouchers.

INVOICE CERTIFICATION - Invoice certification (also called receipt certification) is a statement placed on an invoice, or a receiving document related to an invoice, certifying that the goods or services were received.

JOB ORDER - Two definitions are used:

(1) A formal instruction to perform certain work according to specifications, estimates, etc.;
(2) Descriptive of a cost system whereby costs are accumulated by job orders.

JOINT USE FACILITY - A separate building or structure that is occupied jointly, when specific space has been designated for the sole use of each of the occupants.

LABOR DISTRIBUTION - The vehicle which transfers the actual cost of labor to the job order cost accounting system.

LABOR DISTRIBUTION CARD - A card which identifies hours spent day by day for each job order applicable to their effort.

LAPSED APPROPRIATION - An appropriation whose undisbursed balance is no longer available for disbursement, as the two year expenditure availability period has ended.

LIABILITIES - Amounts of money owed to others for goods and services received, or for assets acquired. Liabilities include accrued amounts earned, but not yet due for payment, and progress payments due to contractors.

LIMITATION - A statutory restriction within an appropriation, or other authorization, or fund which establishes the maximum amount which may be used for specific purposes.

LIQUIDATED OBLIGATION - An obligation that is matched with an expenditure.

MAJOR CLAIMANT/SUBCLAIMANT (Administering Office) - A major claimant is a bureau/office/command/headquarters which is designated as an administering office under the Operation and Maintenance appropriations in NAVCOMPT Manual, Volume 2, Chapter 2. Navy major claimants receive appropriated allocations directly from the Chief of Naval Operations Fiscal Management Division (OP-82). Subclaimants are bureaus/offices/ commands designated as administering office which receive a subclaimant allocation from a major claimant.

MARK - Decision by line item indicating a change (usually a decrease) in a budget request.

MEMORANDUM ACCOUNT - An account, usually stated in financial terms, but not always a part of the basic double-entry system of accounts, used for obtaining data required for control, reporting or other purposes.

MIDYEAR REVIEW OF THE BUDGET - A budget execution review to determine the adequacy of present funding levels, to update unfunded requirements to the next level in the financial chain-of-command, and to update the budget submission being prepared for delivery to Congress.

MILSTRIP/MILSTRAP - The Military Standard Requisitioning and Issue Procedures (MILSTRIP) system provides a standardized language of codes and coding techniques, and a standard set of forms for requisitioning and issue transactions.

The Military Standard Transaction Reporting and Accounting Procedures (MILSTRAP) system provides uniform procedures, codes and documents for use in transmitting receipt, issue, and adjustment data between inventory managers and stock points in support of supply and financial management.

MINOR NEW CONSTRUCTION - Describes construction costing from $1 to $200,000; however, construction projects costing from $25,000 to $200,000 can only be processed as Minor Construction if so urgently required that authorization and funding cannot possibly be delayed for a regular Military Construction (MILCON) program. Projects costing $1 to $25,000 are always funded by the Navy appropriation for Operation and Maintenance. Projects costing over $25,000 up to $200,000 will be funded by Navy appropriations for Military Construction.

MINOR PROPERTY - Navy personal property acquired for immediate use, and having a unit cost of less than $5,000.

MULTI-YEAR APPROPRIATIONS - Appropriations available for incurring obligations for a definite period in excess of one fiscal year.

NAVY INDUSTRIAL FUND - A revolving industrial fund which finances industrial and commercial type activities, that produce and furnish goods or render services to other activities on a reimbursable basis.

NAVY STOCK FUND - A revolving fund that finances inventory for issues to fleet and shore units, and is reimbursed by its customers for issues made.

NEW OBLIGATIONAL AUTHORITY (NOA) - Authority to incur obligations becoming newly available for a given fiscal year, authorized by current and prior actions of the Congress.

NONAPPROPRIATED FUNDS - Monies derived from sources other than Congressional Appropriations, primarily from the sale of goods and services to DOD military and civilian personnel and their dependents. Used to support or provide essential morale, welfare, recreational and certain religious and education programs. Another distinguishing characteristic of these funds is the fact that no accountability for them exists in the fiscal records of the Treasury of the United States.

OBJECT CLASSIFICATION - A uniform classification identifying the transactions of the federal government by the nature of the goods or services purchased (i.e., personnel compensation, supplies and materials, equipment), without regard to the agency involved or the purpose of the programs for which they are used.

OBLIGATION - A duty to make a future payment of money. The duty is incurred as soon as an order is placed, or a contract is awarded for the delivery of goods and the performance of services. It is not necessary that goods actually be delivered, or services actually be performed, before the obligation is created; neither is it necessary that a bill, or invoice, be received first. The placement of an order is sufficient. An obligation legally encumbers a specified sum of money which will require outlay(s) or expenditure(s) in the future.

OBLIGATION AVAILABILITY PERIOD - Appropriations have a specific obligational availability period, or duration, which can be grouped as either annual or multi-year. Generally, the duration of this period is consistent with the funding characteristics of the appropriation.

OBLIGATIONAL ACCOUNTING - A method of keeping track of the cumulative total of resources for which authority to spend has been passed for a particular fiscal year.

OBLIGATIONAL AUTHORITY - Three definitions may apply:

(1) An authorization by Act of Congress to procure goods and services within a specified amount by appropriation or other authorization.
(2) The administrative extension of such authority, as by apportionment or funding.
(3) The amount of authority so granted.

OFFICE OF MANAGEMENT AND BUDGET (OMB) - Established as the Bureau of Budget by the Budget and Accounting Act of 1921; renamed in 1970. Major functions include:

(1) Assist the President in preparation of the budget and the formulation of the fiscal program;
(2) Supervise and control the administration of the budget; and
(3) Aid the President to bring about more efficient and economical conduct of government service.

OFFSETTING COLLECTIONS - Moneys received by the government, as a result of business-type transactions with the public (sale of goods and services), or as a result of a payment from one government account to another. Such collections are netted in determining budget outlays.

OFFSETTING RECEIPTS - All collections deposited into receipt accounts that are offset against budget authority and outlays, rather than reflected as budget receipts in computing budget totals. Under current budgetary usage, cash collections not deposited into receipt accounts (such as revolving fund receipts and reimbursements) are deducted from outlays at the account level. These transactions are offsetting collections, but are not classified as "offsetting receipts."

OPEN APPROPRIATION ACCOUNT - An appropriation account, the balance of which has not been carried to the successor account, or to surplus. The appropriation recorded in the account may be unexpired or expired.

OPERATING AND SUPPORT COSTS - Those recurring costs associated with operating, modifying, maintaining, supplying, and supporting a weapon/support system in the DOD inventory.

OPERATING BUDGET (OB) - An operating budget is the annual budget of an activity stated in terms of subactivity group codes, functional/subfunctional categories and cost accounts. It contains estimates of the total value of resources required for the performance of the mission, including reimbursable work or services for others. It also includes estimates of workload in terms of total work units identified by cost accounts. The term "Operating Budget" is now obsolete - refer to "Allotment"

OPERATING BUDGET PLAN - An estimate of monetary needs for a fiscal year, developed by cost center managers and the activity comptroller by accounting group and subaccounting group.

OPERATING TARGET (OPTAR) - An administrative, rather that legal, limitation on expenditures provided to an afloat operating unit or department ashore.

OPERATION AND MAINTENANCE, NAVY (O&M,N) - An appropriation of funds from Congress intended to finance the basic day-to-day operation of the fleet, and principal shore activities of the Navy, issued to Operating Budget (OB) holders for normal expenses incurred in operating and maintaining an activity.

ORDERING ACTIVITY - An activity which originates a requisition, or order, for procurement, production, or performance of work or services by another activity.

OTHER PROCUREMENT, NAVY (OPN) - An appropriation of funds established for the financing of specialized systems, programs, or activities not funded by O&M,N. OPN funds are investment type appropriations used for the purchase of major end items of equipment or other end items of equipment with a unit value of $15,000 or more.

OUTLAYS - Checks issued, interest accrued on the public debt, or other payments, net of refunds and reimbursements. Total budget outlays consist of the sum of the outlays from appropriations and funds in the budget, less receipts.

PAST YEAR - The fiscal year immediately preceding the current year; the last completed fiscal year.

PERFORMANCE BUDGET - A budget which focuses attention upon the general character, and relative importance, of the work to be done by taking as its basis the estimated cost of programs, functions, and projects designed to accomplish the mission. For example, the cost of a function; that is, operating a rifle range, communications center, motor pool, etc.; versus the cost of "things"; that is, supplies, equipment, personnel services, etc.

PERFORMING ACTIVITY - An activity which is responsible for performing work or services, including the production of material and/or the procurement of goods and services from other contractors and activities.

PLANNING ESTIMATE/OPERATING TARGET (OPTAR) HOLDER - A planning estimate/OPTAR Holder is a person granted administrative control of a designated amount of funds. Planning estimates/OPTARs are issued by operating budget/ allotment holders to departments, divisions, etc., within a fund administering activity.

PLANT PROPERTY - Navy owned/controlled real and personal property, of a capital nature, with a value exceeding $5,000. Plant property is located in naval shore establishments.

PRESIDENT'S BUDGET - The budget for a particular fiscal year; transmitted to the Congress, by the President, in accordance with the Budget and Accounting Act of 1921, as amended.

PRINCIPAL ITEMS - A relatively small number of very high cost major end items, which are procured through investment appropriations and normally managed by a hardware command. Principal items are normally issued to Navy end users without charge.

PROGRAM - A combination of program elements designed to express the accomplishment of a definite objective, or plan. Programs are aggregations of program elements, and, in turn, aggregate to the total FYDP.

PROGRAM COST CATEGORIES -

(1) Research and Development -
Those program costs primarily associated with Research and Development efforts, including the development of a new, or improved, capability to the point where it is ready for operational use. These costs include equipment costs funded under the RDT&E appropriations and related Military Construction appropriation costs. They exclude costs which appear in the Military Personnel, Operation and Maintenance and Procurement Appropriations.

(2) Investment -
Those program costs required beyond the development phase to introduce into operational use a new capability; to procure initial, additional, or replacement equipment for operational forces; or to provide for major modifications of an existing capability. They include Procurement and Military Construction appropriation costs, and exclude RDT&E, Military Personnel, and Operation and Maintenance appropriation costs.

(3) Operating -
Those program costs necessary to operate and maintain the capability. These costs include Military Personnel and Maintenance

PROGRAM DECISION MEMORANDUM (PDM) - A document which provides decisions of the Secretary of Defense on POMS and the JPAM.

PROGRAM ELEMENT - A description of a mission by the identification of the organizational entities, and resources needed to perform the assigned mission. Resources consist of forces, manpower, material quantities, and costs, as applicable. The Program Element is the basic building block for the FYDP.

PROGRAM OBJECTIVES MEMORANDUM (POM) - A memorandum in prescribed format, submitted to the Secretary of Defense by the secretary of a military department or the director of defense agency, which recommends the total resource requirements within the parameters of the published Secretary of Defense fiscal guidance.

PROGRAMMING COST - Cost data for making program decisions. Programming costs are based on sets of factors which will provide consistent cost data under the same, or similar, circumstances, and which are directly related to the explicit elements of the program decision.

PROJECT - A planned undertaking having a finite beginning and ending; involving definition, development, production and logistic support of a major weapon or weapon support system or systems. A project may be the whole or part of a program. A Designated Project is a project which, because of its importance or critical nature, has been selected for intensified project management.

PROJECT MANAGER - The individual responsible for executing an approved project, within well-defined boundaries of time, resource, and performance requirements.

PROJECT ORDER - A specific, definite, and certain order between Navy activities for work or manufacture of supplies, material or equipment; which, for the purpose of obligation, assumes the characteristics of orders or contracts placed with commercial enterprises.

PROMPT PAYMENT ACT - Legislation that requires the Federal Government to pay interest on late payments made on contracts and purchase orders.

REAPPORTIONMENT - A revision of an annual "apportionment" during the fiscal year, either upwards or downwards.

REAPPROPRIATION - Congressional action to restore the obligational availability, whether for the same or different purposes, of all or part of the unobligated portion of budget authority in an expired account. Obligational availability in a current account may also be extended by a subsequent appropriation act.

RECEIVABLES - A collective term used to describe amounts due or to become due from others, usually within a relatively short time.

RESCISSION - A legislative action which cancels budget authority previously provided by Congress.

RECLAMA - A formal appeal in the DON/DOD decision-making process through which an issue that has been disapproved (in whole or part) may be resubmitted for further consideration.

RECONCILIATION - A process in which Congress includes a budget resolution "reconciliation instructions" to specific committees, directing them to report legislation which changes existing laws; usually for the purpose of decreasing spending or increasing revenues by a specified amount by a certain date. The reported legislation is then considered as a single "reconciliation bill."

REFUNDS - Recoveries of excess payments which are for credit to an appropriation or fund account. These items, such as the recovery of a salary overpayment or a return of the unused portion of a travel advance, will not be included as reimbursements, but will be treated as reductions of disbursements. Refunds will also include credits to an appropriation, or fund account, due to accounting adjustment relating to obligations or disbursements, where such procedure is permitted by law or regulations.

REIMBURSABLE EXPENDITURE - An expenditure made for another agency, fund, or appropriation, or for a private individual, firm or corporation, which subsequently will be recovered.

REIMBURSABLE OPTAR - Funds provided by a tenant to a host command in return for the host's providing specified and mutually agreed upon services.

REIMBURSABLE WORK ORDER (RWO) - A request to provide a product, or service, to the requestor which may entail expenditure of labor, material, services or subcontractual support to fulfill the request, and with funds coming from outside the activity's allotment.

REIMBURSEMENTS - Amounts received by an activity for the cost of material, work, or services furnished to others, for credit to an appropriation or other fund account.

REPROGRAMMING - The transfer of funds between programs of an appropriation; a shifting of funds from the original purpose for which they were justified by Congress.

REQUEST FOR CONTRACTUAL PROCUREMENT - A reimbursable order normally used to provide funds for direct citation on contracts or requisitions. These citations are of the requestor's fund, vice those of the performing contracting activity.

RESCISSION BILL - A bill, or joint resolution, that provides for cancellation, in whole or in part, of budget authority previously granted by the Congress.

RESOURCE AUTHORIZATION - Title of the Funding Document NAVCOMPT 2168-1, NAVCOMPT 372, etc., authorizing Obligation and/or Expense/Military Services Authority (funds).

RESOURCE MANAGEMENT SYSTEM (RMS) - The formalized system by which the Navy tracks and accounts for financial resources provided to, and employed by, Navy ashore commands within the Operations and Maintenance Appropriation.

RESOURCES - Resources consist of military and civilian personnel, material on hand and on order, and the entitlement to procure or use material, utilities and services.

RESPONSIBLE OFFICE - The office, bureau, systems command, or Headquarters, U.S. Marine Corps which has assigned the responsibility for overall management for all programs financed by an appropriation. The Director, CNO Fiscal Management Division (OP-82) is the responsible office for all Navy appropriations, except RDT&E,N appropriation. The Headquarters, U.S. Marine Corps is the responsible office for all Marine Corps appropriations. The Assistant Secretary of the Navy (Research, Engineering Systems) is the responsible office for RDT&E,N.

RESPONSIBILITY CENTER - An activity listed in the Standard Navy Distribution List. Several activities may be combined in one responsibility center when the individual activities are considered small enough to justify the combination, or when operational requirements make the combination necessary. Although the term "Responsibility Center" has recently been replaced by the term "Fund Administering Activity", it is still frequently found in naval directives.

RETAIL STOCK - Control of requirements for this material is determined by the local retail stock point based upon guidance from the Fleet Material Support Office. (Material is pulled to the stock point.)

REVENUES - Money collected by the federal government as duties, taxes, or as premiums from social insurance programs.

REVOLVING FUND - A fund established to finance a cycle of operations, in which reimbursements and collections are returned for reuse in a manner that will maintain the principal of the fund; (e.g., working capital funds, industrial fund).

SECONDARY ITEMS - DON stock fund material, a large quantity of which are relatively inexpensive. Items include consumables, repair parts, and depot repairables.

SEQUESTRATION - The automatic process of reducing federal outlays, invoked through the Office of Management and Budget and the General Accounting Office, when the Congress and the President are unable to enact appropriation acts that meet the Gramm-Rudman-Hollings mandated deficit levels.

SERVICES REQUEST - An order for services to be performed; issued by one activity, organization, or private party, to another. Documents utilized for this purpose are the Order for Work and Services (NAVCOMPT Form 2275), Requisition (DD Form 1345), and Request for Issue or Turn-in (DD Form 1150). The accepted order is the basic source of authority to incur costs and perform work.

SNAPSHOT - The estimate of the projected deficit for the upcoming fiscal year; made by the Congressional Budget Office and the Office of Management and Budget, on August 15 each year, under the provisions of the Gramm-Rudman-Hollings Act.

SOLE USE FACILITY - A building or structure that is designated for the exclusive use of the receiver. Identifiable costs are reimbursable.

SPECIFIC JOB ORDER - A job order established for the accomplishment of specified work, with an estimated completion date, and for which summarization of cost incurred is desired upon completion.

SPENDING PLAN - A fund administering activity's documented budget execution plan detailing how it intends to spend that fiscal year's funds.

STABILIZED RATES - Rate stabilization is the development and utilization of predetermined rates for billing customers for work.

STANDARD DOCUMENT NUMBER - A 15 character number assigned to each document; prepared and processed as inputs to the financial system. The first six positions represent the unit identification code (UIC) of the issuing activity.

STANDING JOB ORDER - A job order established to provide for services in connection with the maintenance and operation of the activity during a specified period.

STORES ACCOUNT - An account reflecting the cost and/or the quantity of supplies on hand, and available for issue.

SUBHEAD - A four digit numerical, or alpha-numeric number, identifying the first level subdivision of an appropriation; used primarily for administration, accounting and control of an appropriation.

SUCCESSOR 'M' ACCOUNT - Upon lapse of annual and multiple-year appropriations, the obligated, but unexpended, balances merge/transfer into the Appropriations Successor "M" Account.

SUPPLEMENTAL APPROPRIATION - An appropriation enacted as an addition to a regular annual appropriation act. Supplemental appropriations provide additional budget authority beyond original estimates, for programs or activities which are too urgent to be postponed until the next regular appropriation.

SUPPORTING ACTIVITY - An activity that provides only services to another activity.

SURCHARGE - A specified percentage of costs added to the regular charges on a customer's bill. Normally the customer is a government department outside the Department of Defense, a foreign government, or private party.

SURPLUS - The amount by which revenues exceed outlays.

TENANT ACTIVITY - An activity that uses facilities and receives support from another activity.

TOTAL OBLIGATIONAL AUTHORITY (TOA) - TOA is the total amount of funds available for programming in a given year, regardless of the year the funds are appropriated, obligated or expended. TOA includes new obligational authority; unprogrammed or reprogrammed obligational authority from prior years; reimbursements not used for replacement of inventory in kind; advance funding for programs to be financed in the future; and unobligated balances transferred from other appropriations.

TRANSACTION (FINANCIAL) - The conduct of business involving the participation of two or more parties, for the purpose of exchanging goods, or services, for money or other considerations. A transaction is comprised of various stages before completion. The function of an accounting system is to identify, classify and record transactions.

TRANSFERRING - Moving funds between appropriations; requires prior approval from Congress.

UNDELIVERED ORDERS - An undelivered order is any document, meeting the criteria of an obligation, issued for material or services that have not as yet been received by the ordering activity. It includes material requisitions (also applicable to reimbursable orders) issued for material to be delivered from a stock funded inventory; purchase orders issued which cite annual appropriations; and overhead materials requisitions issued by modified industrial activities whose operations are principally financed by reimbursable orders.

UNDISTRIBUTED DISBURSEMENTS - Disbursements not processed by the authorization accounting activity against obligation records.

UNFUNDED REIMBURSEMENTS - Unfunded reimbursements result when work, or services, are provided without a specific order. Reimbursement for user charges (i.e., commissary surcharge) and jury duty fees, are examples.

UNFUNDED REQUIREMENTS - Those programs and functions which cannot be performed within the constraints of the funding control numbers assigned to an activity.

UNIFORM CHART OF EXPENSE ACCOUNTS - The Uniform Chart of Expense Accounts provides a basis for classifying, and charging, all expenses to the Navy for doing business. It facilitates comparisons and combinations of budget and accounting reports, and brings budgeting and accounting information into line with the programming part of the FYDP.

UNLIQUIDATED OBLIGATIONS - Outstanding obligations with no matching expenditures.

UNMATCHED DISBURSEMENTS - Disbursements that cannot be matched to existing obligations.

VOUCHER - Any document which is evidence of a transaction, showing the nature, and amount, of the transaction. It usually indicates the accounts in which the transaction is to be recorded.

VOUCHER NUMBER - A serial number assigned to a voucher used to make payments to a contractor for delivery of supplies, or performance of a service.

WARRANT - An official document issued by the Secretary of the Treasury, and countersigned by the Comptroller General of the United States, by which monies are authorized to be withdrawn from the Treasury. Warrants are issued after appropriations, and similar congressional authority, have been enacted.

WHOLESALE STOCK - Stock requirements and availability is determined by the appropriate wholesale Navy inventory control point. (Material is pushed to the stock point by the appropriate inventory control point.)

WORK MEASUREMENT - The process of establishing performance standards in terms of hours per work unit. Some of the principal techniques used are: stopwatch observations; synthesis of predetermined standards; work sampling; and statistical inference from historical data. The principal purpose of the standards is to compare the work performed with the manhours expended. Such information may be used for personnel planning, work scheduling, budget justification, and cost control.

WORK UNIT - Work units are measures of output that express volume of work; conversely, manhours and dollars are measures of input required to produce work units or perform work.

WORKING CAPITAL FUND - A revolving fund used as a source of financing for work that will be paid for by the customer after the completion of the job.

WORK-IN-PROCESS ACCOUNT - Temporary investment of cost into customer requested work which, as yet, is unbilled.

YEAR-TO-DATE (YTD) - Cumulative totals lodged against job orders, or cost accounts, from the beginning of the fiscal year to current date.

ZERO BASED BUDGETING (ZBB) - A systematic process in which management undertakes the careful examination of the basis for allocating resources, in conjunction with the formulation of budget requests and program planning. Generally, ZBB involves displaying budget requests across varying performance levels and priorities.

APPENDIX B

List of References

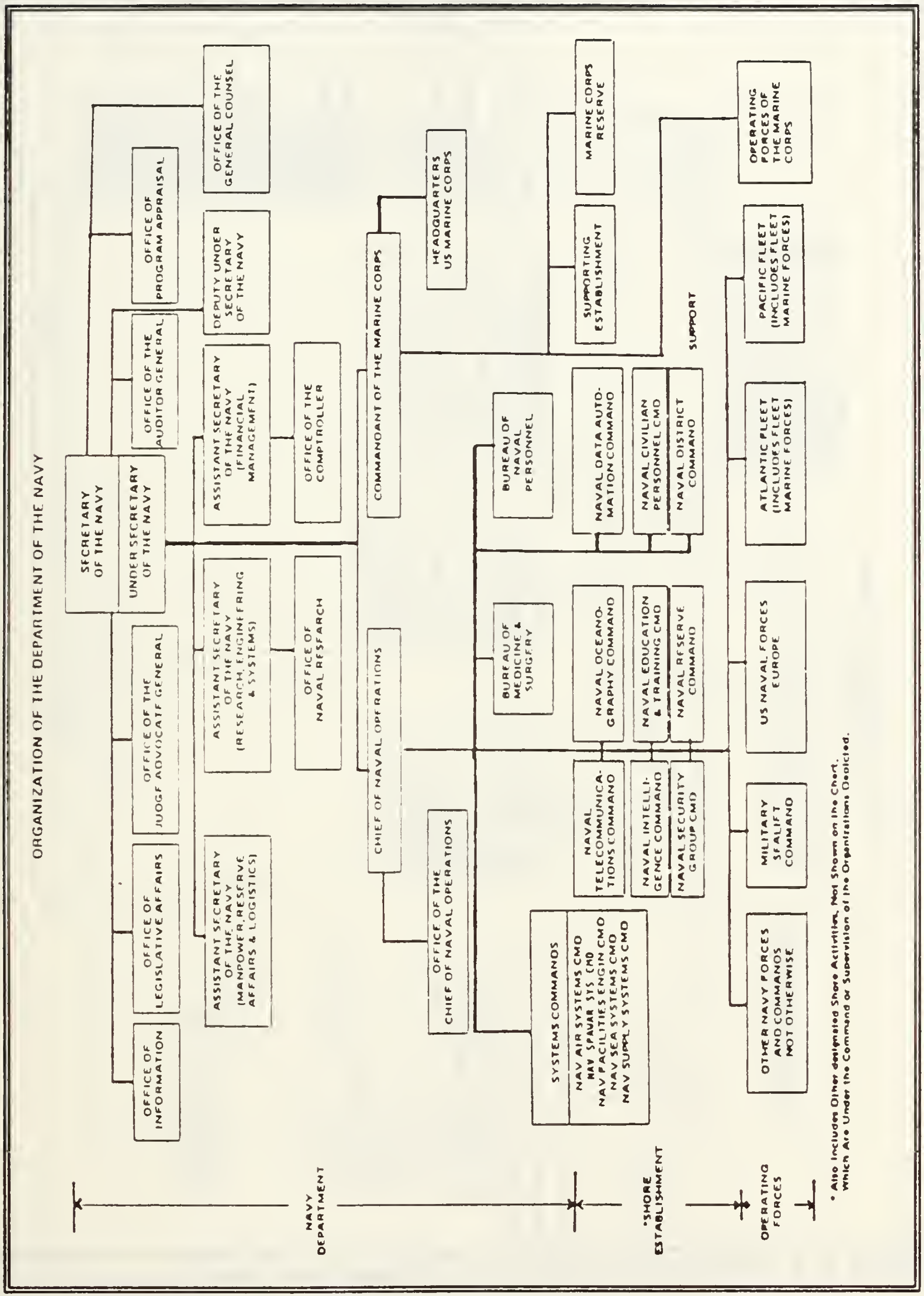
DIRECTIVE	DATE	DESCRIPTION
ACCOUNTING:		
NAVPGSCOLINST 4235.2	25 Sep 86	Management and Financial Control Procedures For NPS Operating Funds.
NAVPGSCOLINST 3900.1	13 Oct 83	Administration and Management of Research Reimbursables Received at NPS.
NAVPGSCOLINST 3900.2	8 Dec 83	Chair Professorships
NAVPGSCOLINST 3900.4	11 Mar 87	Management of Research at NPS Under Direct Funding.
NAVPGSCOLINST 4235.2	25 Sep 86	Management and Financial Control Procedures for NPS Operating Funds.
PURCHASES:		
Supply Department's FY90 Customer Service Manual		A guide for procurement and disposition of material and supplies. Provides basic information about NPS supply services and preparation of required documents.
NAVPGSCOLINST 3900.2	8 Dec 83	Accountability of Books Purchased through Reimbursable Research Funds.
NAVPGSCOLINST 4400.1	6 Dec 83	Requisition/Receipt Procedures for Supplies.
NAVPGSCOLINST 4400.2	11 Jan 89	Policies and Procedures for Purchasing Restricted Items.
NAVPGSCOLINST 7200.1E	15 Apr 83	Fees & Expenses to Visiting Lecturers/Consultants.
NAVPGSCOL NOTICE 7200	14 Apr 89	Fees for Guest Lectures/Consultants (Honorariums).

List of References

DIRECTIVE	DATE	DESCRIPTION
TRAVEL:		
Joint Federal Travel Regulations		Sets forth Federal Travel Entitlements.
NAVPGSCOLINST 4650.4B	22 May 87	Policy for Official Travel Performed By NPS Personnel.
NAVPGSCOL NOTICE 5050	27 Apr 89	Reduction in Military and Civilian Travel Costs.
NPS Travel/Country Clearance Handbook		Document preparation procedures for travel outside CONUS.
LABOR:		
NRFCWASHINST 7410.3A	30 Dec 83	Recording and Reporting Attendance/Leave of Civilian Employees.
Department of the Navy, Office of Civilian Personnel Management	Sep 86	Managing To Payroll Desk Guide.
SECNAVINST 12510.9	26 Aug 86	Delegation of Position Classification Authority and Position Management Responsibility Consistent with Payroll Management.
TRAINING:		
NAVPGSCOLINST 12410.1E	1 Jul 86	Training and Development of Civilian Employees.

APPENDIX C

Organizational Charts


ORGANIZATION OF THE DEPARTMENT OF THE NAVY
SECRETARY OF THE NAVY
UNDER SECRETARY OF THE NAVY
OFFICE OF INFORMATION
OFFICE OF LEGISLATIVE AFFAIRS
OFFICE OF THE JUDGE ADVOCATE GENERAL
OFFICE OF THE AUDITOR GENERAL
OFFICE OF PROGRAM APPRAISAL
OFFICE OF THE GENERAL COUNSEL
DEPUTY UNDER SECRETARY OF THE NAVY
ASSISTANT SECRETARY OF THE NAVY (MANPOWER, RESERVE AFFAIRS & LOGISTICS)
ASSISTANT SECRETARY OF THE NAVY (RESEARCH, ENGINEERING & SYSTEMS)
ASSISTANT SECRETARY OF THE NAVY (FINANCIAL MANAGEMENT)
OFFICE OF NAVAL RESEARCH
OFFICE OF THE COMPTROLLER
CHIEF OF NAVAL OPERATIONS
COMMANDANT OF THE MARINE CORPS
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
HEADQUARTERS US MARINE CORPS
SYSTEMS COMMANDS
NAV AIR SYSTEMS CMD
NAV SPAWAR SYS CMD
NAV FACILITIES ENGIN CMD
NAV SEA SYSTEMS CMD
NAV SUPPLY SYSTEMS CMD
NAVAL TELECOMMUNICATIONS COMMAND
NAVAL INTELLIGENCE COMMAND
NAVAL SECURITY GROUP CMD
BUREAU OF MEDICINE & SURGERY
NAVAL OCEANOGRAPHY COMMAND
NAVAL EDUCATION & TRAINING CMD
NAVAL RESERVE COMMAND
BUREAU OF NAVAL PERSONNEL
NAVAL DATA AUTOMATION COMMAND
NAVAL CIVILIAN PERSONNEL CMD
NAVAL DISTRICT COMMAND
SUPPORTING ESTABLISHMENT
MARINE CORPS RESERVE
SUPPORT
OPERATING FORCES OF THE MARINE CORPS
OTHER NAVY FORCES AND COMMANDS NOT OTHERWISE
MILITARY SEALIFT COMMAND
US NAVAL FORCES EUROPE
ATLANTIC FLEET (INCLUDES FLEET MARINE FORCES)
PACIFIC FLEET (INCLUDES FLEET MARINE FORCES)
NAVY DEPARTMENT
*SHORE ESTABLISHMENT
OPERATING FORCES

* Also Includes Other designated Shore Activities, Not Shown on the Chart, Which Are Under the Command or Supervision of the Organizations Depicted.

Figure C.1 Organization of the Department of the Navy

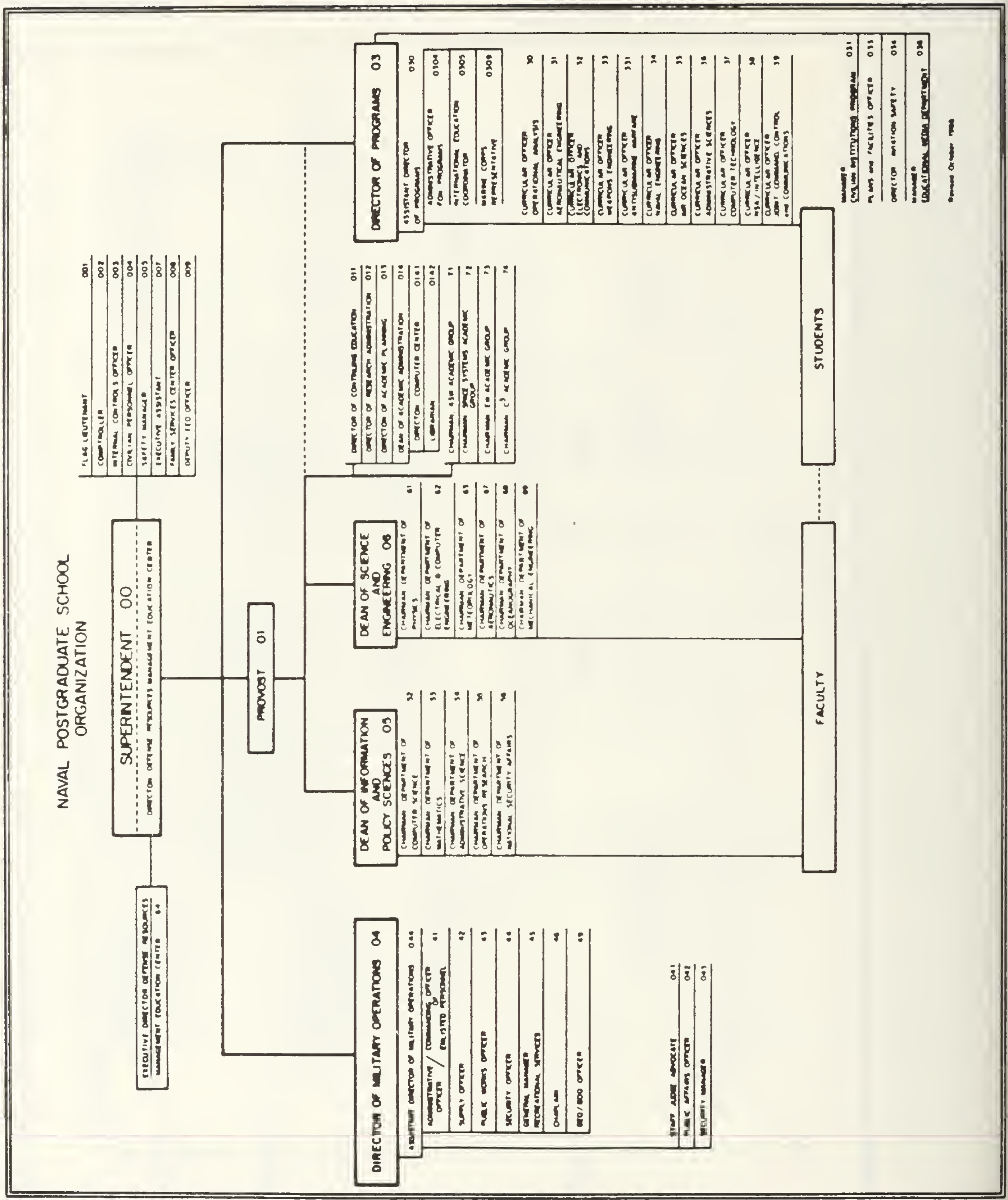

NAVAL POSTGRADUATE SCHOOL ORGANIZATION
SUPERINTENDENT 00
DIRECTOR DEFENSE RESOURCES MANAGEMENT EDUCATION CENTER
FLAG LIEUTENANT 001
COMPTROLLER 002
INTERNAL CONTROLS OFFICER 003
CIVILIAN PERSONNEL OFFICER 004
SAFETY MANAGER 005
EXECUTIVE ASSISTANT 007
FAMILY SERVICES CENTER OFFICER 008
DEPUTY EEO OFFICER 009
EXECUTIVE DIRECTOR DEFENSE RESOURCES MANAGEMENT EDUCATION CENTER 64
PROVOST 01
DIRECTOR OF CONTINUING EDUCATION 011
DIRECTOR OF RESEARCH ADMINISTRATION 012
DIRECTOR OF ACADEMIC PLANNING 013
DEAN OF ACADEMIC ADMINISTRATION 014
DIRECTOR COMPUTER CENTER 0141
LIBRARIAN 0142
CHAIRMAN, ASW ACADEMIC GROUP 71
CHAIRMAN, SPACE SYSTEMS ACADEMIC GROUP 72
CHAIRMAN, EW ACADEMIC GROUP 73
CHAIRMAN, C3 ACADEMIC GROUP 74
DEAN OF SCIENCE AND ENGINEERING 06
CHAIRMAN, DEPARTMENT OF PHYSICS 61
CHAIRMAN, DEPARTMENT OF ELECTRICAL & COMPUTER ENGINEERING 62
CHAIRMAN, DEPARTMENT OF METEOROLOGY 63
CHAIRMAN, DEPARTMENT OF AERONAUTICS 67
CHAIRMAN, DEPARTMENT OF OCEANOGRAPHY 68
CHAIRMAN, DEPARTMENT OF MECHANICAL ENGINEERING 69
DEAN OF INFORMATION AND POLICY SCIENCES 05
CHAIRMAN, DEPARTMENT OF COMPUTER SCIENCE 52
CHAIRMAN, DEPARTMENT OF MATHEMATICS 53
CHAIRMAN, DEPARTMENT OF ADMINISTRATIVE SCIENCE 54
CHAIRMAN, DEPARTMENT OF OPERATIONS RESEARCH 55
CHAIRMAN, DEPARTMENT OF NATIONAL SECURITY AFFAIRS 56
DIRECTOR OF PROGRAMS 03
ASSISTANT DIRECTOR OF PROGRAMS 030
ADMINISTRATIVE OFFICER FOR PROGRAMS 0304
INTERNATIONAL EDUCATION COORDINATOR 0305
MARINE CORPS REPRESENTATIVE 0309
CURRICULAR OFFICER OPERATIONAL ANALYSIS 30
CURRICULAR OFFICER AERONAUTICAL ENGINEERING 31
CURRICULAR OFFICER ELECTRONICS AND COMMUNICATIONS 32
CURRICULAR OFFICER WEAPONS ENGINEERING 33
CURRICULAR OFFICER ANTISUBMARINE WARFARE 331
CURRICULAR OFFICER NAVAL ENGINEERING 34
CURRICULAR OFFICER AIR OCEAN SCIENCES 35
CURRICULAR OFFICER ADMINISTRATIVE SCIENCES 36
CURRICULAR OFFICER COMPUTER TECHNOLOGY 37
CURRICULAR OFFICER NSA/INTELLIGENCE 38
CURRICULAR OFFICER JOINT COMMAND, CONTROL AND COMMUNICATIONS 39
MANAGER CIVILIAN INSTITUTIONS PROGRAM 031
PLANS AND FACILITIES OFFICER 033
DIRECTOR AVIATION SAFETY 034
MANAGER EDUCATIONAL MEDIA DEPARTMENT 036
Revised October
STUDENTS
FACULTY
DIRECTOR OF MILITARY OPERATIONS 04
ASSISTANT DIRECTOR OF MILITARY OPERATIONS 044
ADMINISTRATIVE OFFICER / COMMANDING OFFICER ENLISTED PERSONNEL 41
SUPPLY OFFICER 42
PUBLIC WORKS OFFICER 43
SECURITY OFFICER 44
GENERAL MANAGER RECREATIONAL SERVICES 45
CHAPLAIN 46
EEO/DEO OFFICER 49
STAFF JUDGE ADVOCATE 041
PUBLIC AFFAIRS OFFICER 042
SECURITY MANAGER 043

Figure C.2 Organization of the Naval Postgraduate School

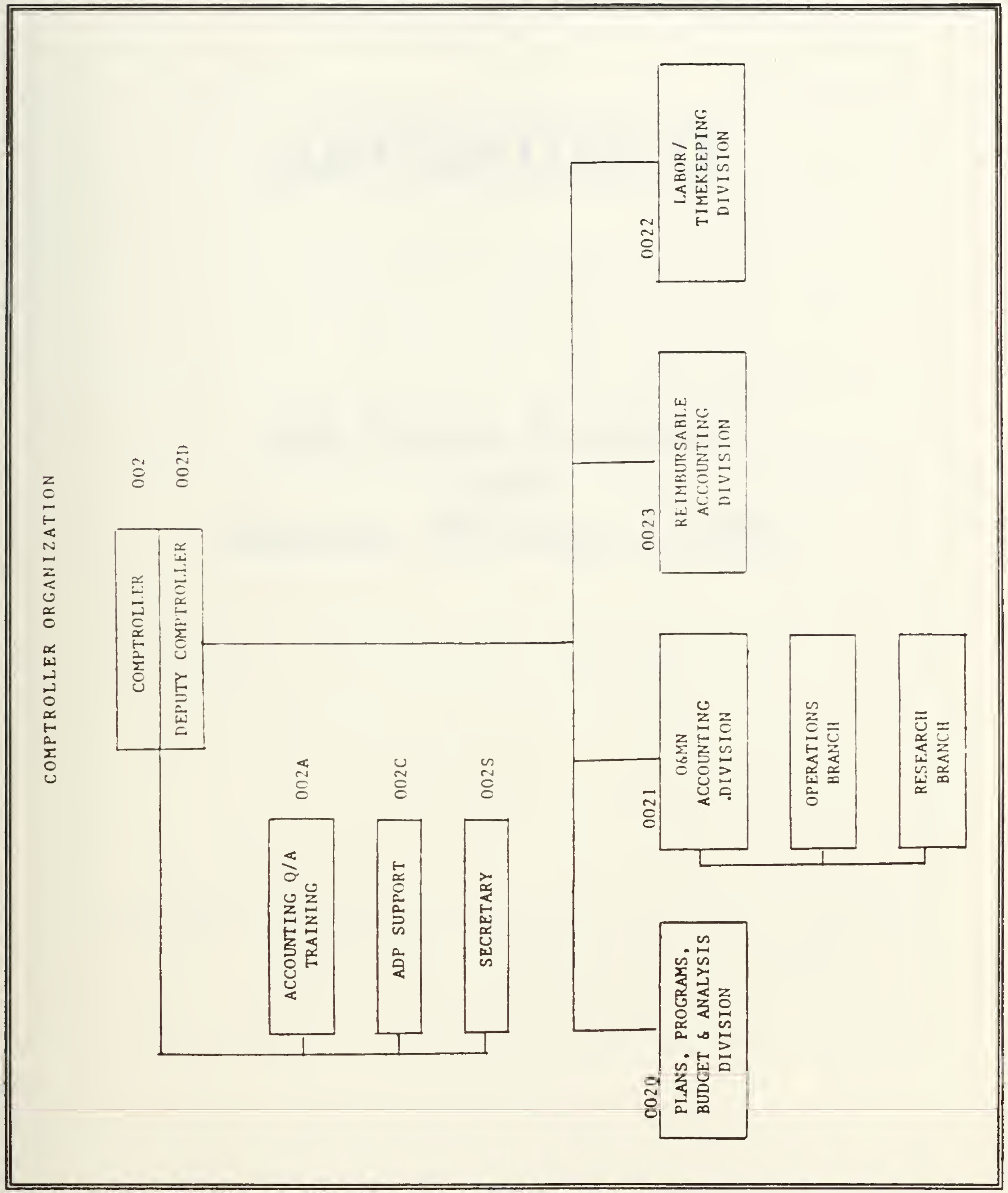

COMPTROLLER ORGANIZATION
COMPTROLLER
002
DEPUTY COMPTROLLER
002D
ACCOUNTING Q/A TRAINING
002A
ADP SUPPORT
002C
SECRETARY
002S
PLANS, PROGRAMS, BUDGET & ANALYSIS DIVISION
0020
O&MN ACCOUNTING DIVISION
0021
OPERATIONS BRANCH
RESEARCH BRANCH
REIMBURSABLE ACCOUNTING DIVISION
0023
LABOR/ TIMEKEEPING DIVISION
0022

Figure C.3 NPS Comptroller Department Organization

APPENDIX D

Job Order Numbers and Expense Element Codes

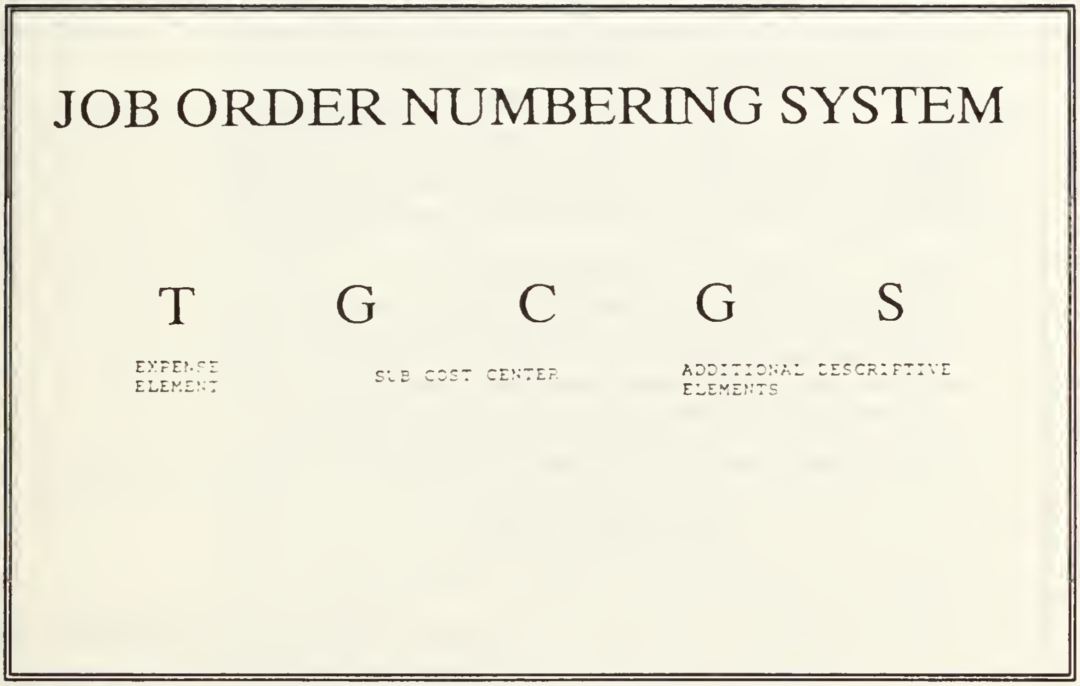
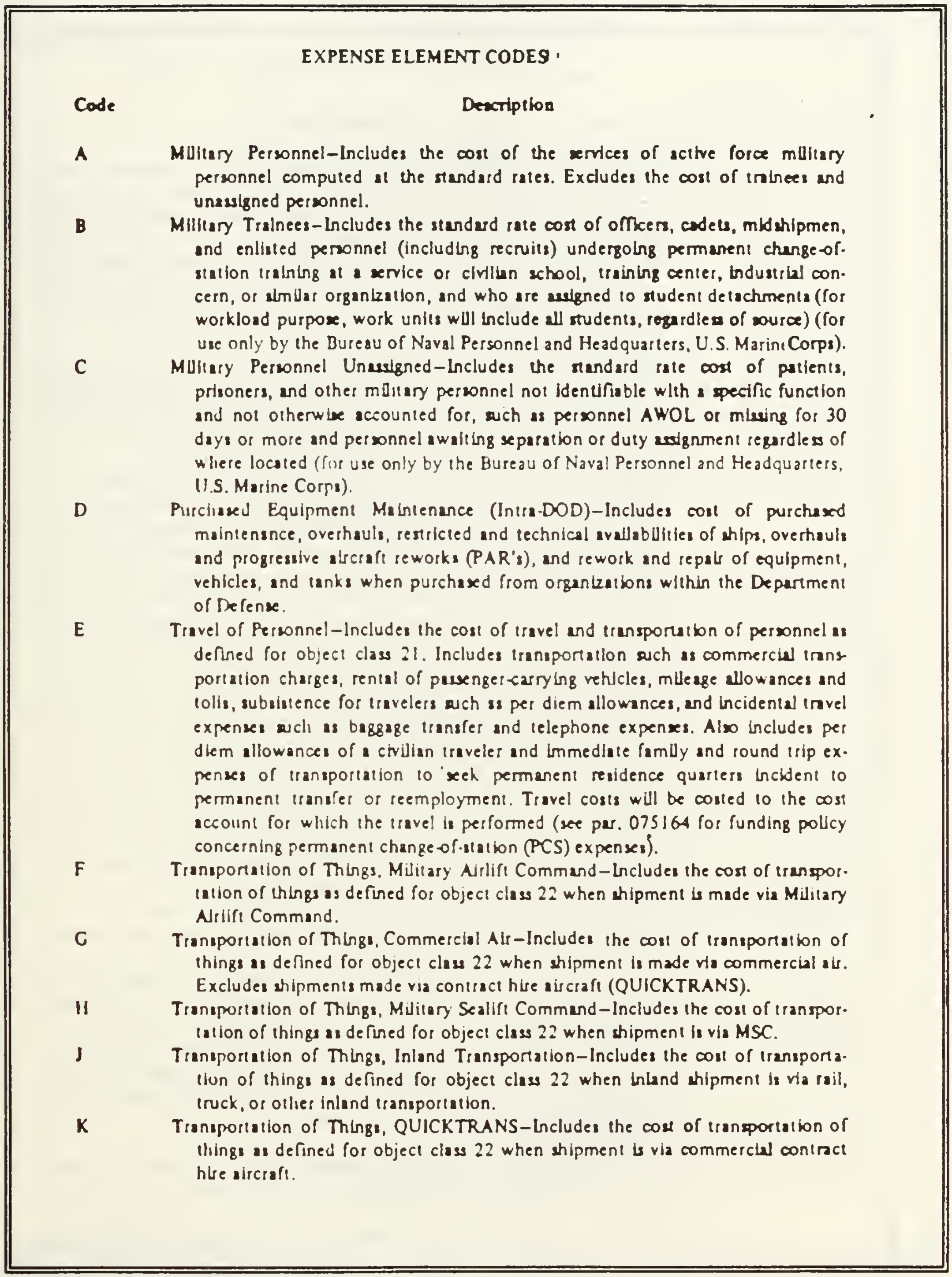

JOB ORDER NUMBERING SYSTEM
T
G
C
G
S
EXPENSE ELEMENT
SUB COST CENTER
ADDITIONAL DESCRIPTIVE ELEMENTS

Figure D.1 Job Order Numbering System

LMC:_______
SERIAL #:_______
STANDARD STOCK SERIAL #:_______

COST ACCT		
-----	E_ _ OC	CIVILIAN TRAVEL
--/--	E_ _ OM	MILITARY TRAVEL
-----	E_ _ EP	CIVILIAN PCS TRAVEL
-----	E_ _ TT	INVITATIONAL TRAVEL ORDERS
-----	E_ _ MR	RENTAL/LEASE OF VEHICLES
-----	L_ _ 00	TRANSPORTATION OF THINGS
-----	L_ _ HG	MOVEMENT OF HOUSEHOLD GOODS (PCS MOVES ONLY)
-----	M_ _ 00	EQUIPMENT RENTAL/LEASE
1R8B	P_ _ MM	MAINTENANCE MINOR PROPERTY
1R9B	P_ _ MD	MAINTENANCE ADP MINOR PROPERTY
1R9C	P_ _ PM	MAINTENANCE PLANT PROPERTY
1R9C	P_ _ PD	MAINTENANCE ADP PLANT PROPERTY
-----	Q_ _ 00	TRAINING COST
-----	Q_ _ DP	ADP CONTRACTS
-----	Q_ _ QR	REGISTRATION FEES/CONFERENCE COSTS
-----	Q_ _ QH	HONORARIUMS
-----	Q_ _ QS	PURCHASE SERVICES, OTHER
-----	T_ _ 00	CONSUMABLE SUPPLIES (NOT ADP,RSS,GSA OR NSC)
-----	T_ _ DP	ADP SUPPLIES
-----	T_ _ GS	GSA SUPPLIES
-----	T_ _ NS	NAVY STOCK SUPPLIES (i.e.,RSS AND NSC)
-----	U_ _ QT	60 DAYS TEMPORARY QUARTERS SUBISTENCE(PCS)
-----	U_ _ RE	REAL ESTATE EXPENSES (CIVILIAN PCS MOVES)
1R80	W_ _ MA	MINOR PROPERTY ACQUISITION (NOT ADP OR GSA)
1R80	W_ _ MG	GSA MINOR PROPERTY ACQUISITION
1R80	W_ _ MD	ADP MINOR PROPERTY ACQUISITION
1R9A	W_ _ PA	PLANT PROPERTY ACQUISITION (NOT ADP OR GSA)
1R9A	W_ _ PD	ADP PLANT PROPERTY ACQUISITION
1R9A	W_ _ PG	GSA PLANT PROPERTY ACQUISITION
-----	Y_ _ 00	COMMERCIAL PRINTING

Figure D.2 FY 90 Operating Budget Job Orders



EXPENSE ELEMENT CODES

Code	Description
A	Military Personnel–Includes the cost of the services of active force military personnel computed at the standard rates. Excludes the cost of trainees and unassigned personnel.
B	Military Trainees–Includes the standard rate cost of officers, cadets, midshipmen, and enlisted personnel (including recruits) undergoing permanent change-of-station training at a service or civilian school, training center, industrial concern, or similar organization, and who are assigned to student detachments (for workload purpose, work units will include all students, regardless of source) (for use only by the Bureau of Naval Personnel and Headquarters, U.S. MarineCorps).
C	Military Personnel Unassigned–Includes the standard rate cost of patients, prisoners, and other military personnel not identifiable with a specific function and not otherwise accounted for, such as personnel AWOL or missing for 30 days or more and personnel awaiting separation or duty assignment regardless of where located (for use only by the Bureau of Naval Personnel and Headquarters, U.S. Marine Corps).
D	Purchased Equipment Maintenance (Intra-DOD)–Includes cost of purchased maintenance, overhauls, restricted and technical availabilities of ships, overhauls and progressive aircraft reworks (PAR's), and rework and repair of equipment, vehicles, and tanks when purchased from organizations within the Department of Defense.
E	Travel of Personnel–Includes the cost of travel and transportation of personnel as defined for object class 21. Includes transportation such as commercial transportation charges, rental of passenger-carrying vehicles, mileage allowances and tolls, subsistence for travelers such as per diem allowances, and incidental travel expenses such as baggage transfer and telephone expenses. Also includes per diem allowances of a civilian traveler and immediate family and round trip expenses of transportation to seek permanent residence quarters incident to permanent transfer or reemployment. Travel costs will be costed to the cost account for which the travel is performed (see par. 075164 for funding policy concerning permanent change-of-station (PCS) expenses).
F	Transportation of Things, Military Airlift Command–Includes the cost of transportation of things as defined for object class 22 when shipment is made via Military Airlift Command.
G	Transportation of Things, Commercial Air–Includes the cost of transportation of things as defined for object class 22 when shipment is made via commercial air. Excludes shipments made via contract hire aircraft (QUICKTRANS).
H	Transportation of Things, Military Sealift Command–Includes the cost of transportation of things as defined for object class 22 when shipment is via MSC.
J	Transportation of Things, Inland Transportation–Includes the cost of transportation of things as defined for object class 22 when inland shipment is via rail, truck, or other inland transportation.
K	Transportation of Things, QUICKTRANS–Includes the cost of transportation of things as defined for object class 22 when shipment is via commercial contract hire aircraft.

Figure D.3 Expense Element Codes

EXPENSE ELEMENT CODES

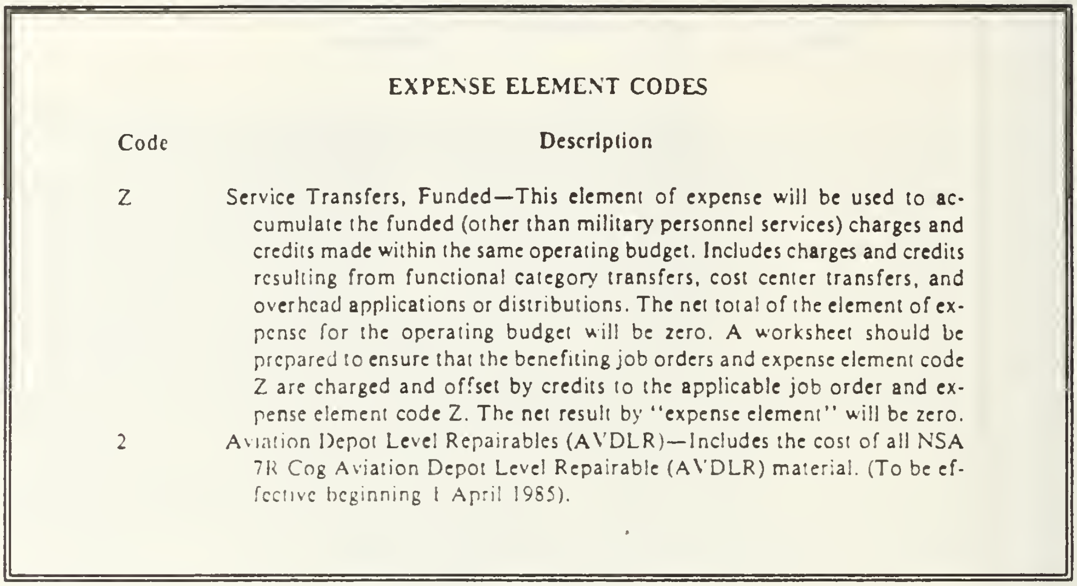
Code	Description
L	Transportation of Things, Other—Includes the cost of transportation of things as defined for object class 22 when shipment is not covered by one of the types of shipment described for expense element codes F through K.
M	Utilities and Rents—Includes the cost of heat, power, water, gas, electricity, and other utility services except transportation and communication services. Includes the cost of rents of land, structures, and equipment (other than transportation equipment). Corresponds to the utilities and rents portion of object class 23.
N	Communications—Includes the cost of communications as defined for that portion of object class 23 identified as communications services. Includes charges for the transmission of messages from place to place, contractual telephone and teletype service, postage (other than parcel post), rental of post office boxes, and telephone installation charges.
O	Service Transfers, Unfunded—This element of expense will be used to accumulate the unfunded (military personnel services) charges and credits made within the same operating budget. Includes charges and credits resulting from functional category transfers, cost center transfers, and overhead application or distribution. The net total of this element of expense for the operating budget will be zero. A worksheet should be prepared to ensure that the benefiting job orders and expense element code O are charged and offset by credits to the applicable job order and expense element code O. The net result by "expense element" will be zero.
P	Purchased Equipment Maintenance (Commercial)—Includes cost of purchased maintenance, overhauls, restricted and technical availabilities of ships; overhauls and progressive aircraft reworks (PAR's); and rework and repair of equipment, vehicles, and tanks when purchased from commercial sources or organizations outside the Department of Defense.
Q	Purchased Services, Other—Includes the cost of other servics as defined for object class 25 except for purchased equipment maintenance as prescribed in expense element code P. Also includes storage of household goods incident to permanent transfer or reemployment.
R	Aircraft POL—Includes the cost of propulsion petroleum and interrelated additives and lubricants consumed by aircraft in flight operations (excludes POL consumed during maintenance).
S	Ship POL—Includes the cost of propulsion petroleum and interrelated additives and lubricants consumed by ships and service craft assigned to ships.
★ T	Supplies—Includes the cost of all other consumable items as defined in object class 26, supplies and material (see par. 026002) except for those included in expense elements R, S, and V for fuel. Also included is aircraft POL consumed during maintenance and the cost of O&M funded end items of equipment having a useful life of less than 1 year. (To be effective through 30 March 1985).
★ T	Supplies—Includes the cost of all consumable items as defined for object class 26 (also includes aircraft POL consumed during maintenance and the cost of O&M funded end items of equipment having a useful life of less than 1 year) except those included under expense elements R, S, and

Figure D.4 Expense Element Codes (con't)

EXPENSE ELEMENT CODES

Code	Description
	includes estate costs, subsistence of traveler and immediate family while occupying temporary quarters, and allowance for miscellaneous moving expenses incident to permanent transfer or reemployment.
V	Other POL—Includes the cost of petroleum, oil and lubricants used for other than aircraft or ship propulsion, such as fuel used in heating, generating power, making artificial gas, operating motor vehicles, operating powered materials handling equipment, labor-saving devices, and service craft assigned to commands and staffs, special combat forces and shore stations.
★ W	FY 1988—Equipment. Includes the cost of end-items of equipment defined in object class 31, Equipment (par. 026002) purchased with O&M funds. Includes plant property classes 3 and 4 (equipment and industrial plant equipment respectively) with a unit cost between $5,000 and $14,999.99, and those items costing in excess of $15,000 which qualify for O&M financing (Navy Stock Account issues or standard items; i.e., items listed in the Management List—Navy, not carried but authorized for local purchase). Also includes minor property with a unit value of less than $5,000 and other plant property equipment items listed in pars. 036301-4 or 036401-2 excluded from plant property reporting.
	FY 1987—Equipment. Includes the cost of end-items of equipment defined in object class 31 Equipment (par. 026002) purchased with O&M funds. Includes minor property with a unit cost of less than $5,000 and other plant property equipment items listed in pars. 036301-4 or 036401-2 excluded from plant property reporting. Also includes those items costing in excess of $5,000 which qualify for O&M financing (Navy Stock Account issues or standard items; i.e., items listed in the Management List—Navy, not carried but authorized for local purchase).
	FY 1986—Equipment. Includes the cost of end-items of equipment defined in object class 31 Equipment (par. 026002) purchased with O&M funds. Includes plant property classes 3 and 4 (equipment and industrial plant equipment respectively) with a unit cost between $1,000 and $2,999.99, and those items costing in excess of $3,000 which qualify for O&M financing (Navy Stock Account issues or standard items; i.e., items listed in the Management List—Navy, not carried but authorized for local purchase). Also includes minor property with a unit value of less than $1,000 and other plant property equipment items listed in pars. 036301-4 or 036401-2 excluded from plant property reporting.
X	Other Expense—Includes the cost of types of resources not otherwise provided for, such as investments and loans, grants, subsidies, and contributions, insurance claims and indemnities, interest and dividends, payments in lieu of taxes, incentive awards for military personnel, and other insignificant costs, i.e., costs which do not exceed one-tenth of 1 percent of the total activity budget, or $500, whichever is greater.
Y	Printing and Reproduction—Includes the cost of contractual printing and reproduction work (such as work done on printing presses, lithographing, and other duplicating), related binding operations, photostating, blueprinting, photography, and microfilming.

Figure D.5 Expense Element Codes (con't)



EXPENSE ELEMENT CODES

Code	Description
Z	Service Transfers, Funded—This element of expense will be used to accumulate the funded (other than military personnel services) charges and credits made within the same operating budget. Includes charges and credits resulting from functional category transfers, cost center transfers, and overhead applications or distributions. The net total of the element of expense for the operating budget will be zero. A worksheet should be prepared to ensure that the benefiting job orders and expense element code Z are charged and offset by credits to the applicable job order and expense element code Z. The net result by "expense element" will be zero.
2	Aviation Depot Level Repairables (AVDLR)—Includes the cost of all NSA 7R Cog Aviation Depot Level Repairable (AVDLR) material. (To be effective beginning 1 April 1985).

Figure D.6 Expense Element Codes (con't)

APPENDIX E

Cost Center/Sub-Cost Center OPTAR Codes

CODE	COST CENTER	SUB-COST CENTER	DEPT	SAG	SFC
001	02	AA	SUPERINTENDENT	MZ	A8
002	02	AB	COMPTROLLER	FF	D1
004	02	AD	CIVPERS	FF	D1
005	02	AE	SAFETY	FF	D1
006	02	AF	JAG	FF	D1
009	02	AG	EEO	FK	S1
003	02	AJ	INTCONTROL	FF	D1
007	02	AK	EXEC ASST	FF	D1
0021	02	AL	STAFF PCS	FF	D1
034M	02	AN	FLIGHT SURGEON	MZ	A9
01	01	BA	PROVOST	MZ	A8
-01A	01	BP	MISS PCS	MZ	A8
014	14	CA	DEAN ACAD	MZ	A8
0141	14	CB	COMP CTR	MZ	V1
0142	14	CC	LIBRARY	MZ	A8
142T	14	CD	INSTR TV	MZ	A8
0146	14	CE	MANG INFO SYS	MZ	A8
03	03	DA	DIR PROG	MZ	A8
034	03	DC	AVIATION SAFETY	MZ	A7
036	03	DD	EMD	MZ	A8
036P	03	DE	PRINT	MZ	A8
30	03	DF	OPS RES	MZ	A8
31	03	DG	AERO	MZ	A8
32	03	DH	EE/CE	MZ	A8

Figure E.1 Cost/Sub-Cost Center OPTAR Codes

CODE	COST CENTER	SUB-COST CENTER	DEPT	SAG	SFC
33	03	DJ	WEAPONS	MZ	A8
331	03	DK	ASW	MZ	A8
34	03	DL	NAV ENG	MZ	A8
35	03	DM	AIR OCEAN	MZ	A8
36	03	DN	ADMIN SCIENCE	MZ	A8
37	03	DP	COMP TECH	MZ	A8
38	03	DQ	INTELL	MZ	A8
39T	03	DX	C3 TRAVEL	MZ	A8
39	03	DR	C3	MZ	A8
0305	03	DT	INTNL	MZ	A8
03T	03	DU	TEXTBOOKS	MZ	A8
031	3A	DB	CIV INST	MZ	AB
031L	3A	DS	LAW PROG	MZ	AB
03V	3A	DV	VGEP	MZ	AB
04	04	EA	MIL OPS	FF	D1
41	04	EC	ADMIN	FF	D1
42	04	ED	SUPPLY	FG	E1
42E	04	EE	EDF	FK	S1
42M	04	EF	MAT DIV	FG	E1
44	04	EH	POLICE	FV	L1
46	04	EJ	CHAPLAINS	FK	S1
47	04	EK	FAM SVCS	FK	S1
451	04	EL	OPEN MESS	FL	S1
452	04	EM	REC	FL	S1
49	04	EN	UPH	FJ	S1
452C	04	ER	CHILDCARE	FL	S1

Figure E.2 Cost Center/Sub-Cost Center OPTAR Codes (con't)

CODE	COST CENTER	SUB-COST CENTER	DEPT	SAG	SFC
44F	04	ES	FIRE	FD	D1
04F	04	ET	BASE PCS	FF	D1
43A	4A	FA	COMM/PHONES	FN	L1
43B	4A	FB	TRANS	FR	L7
43D	4A	FD	UTILITIES	FC	N1
43E	4A	FE	ENG SUPPORT	FD	P1
43K	4A	FK	AUDIO	MZ	A8
04B	4A	FL	BOAT	FL	S1
43C	4B	FC	MAINTENANCE M1	FA	M1
43F	4B	FF	CONST R1	FB	R1
43H	4C	FH	MAINT M2	FA	M2
43J	4C	FJ	CONST R2	FB	R2
05	05	GA	DEAN INFO	MZ	A8
52	05	GB	COMP SCIENCE	MZ	A8
53	05	GC	MATH	MZ	A8
54	05	GD	ADMIN SCIENCE	MZ	A8
55	05	GE	OPS RESEARCH	MZ	A8
56	05	GF	NSA	MZ	A8
011	05	GH	DEAN ED	MZ	A8
71	05	GJ	ASW ACAD	MZ	A8
73	05	GK	EW ACAD	MZ	A8
74	05	GL	C3 ACAD	MZ	A8
06	06	EA	DEAN SCIENCE	MZ	A8

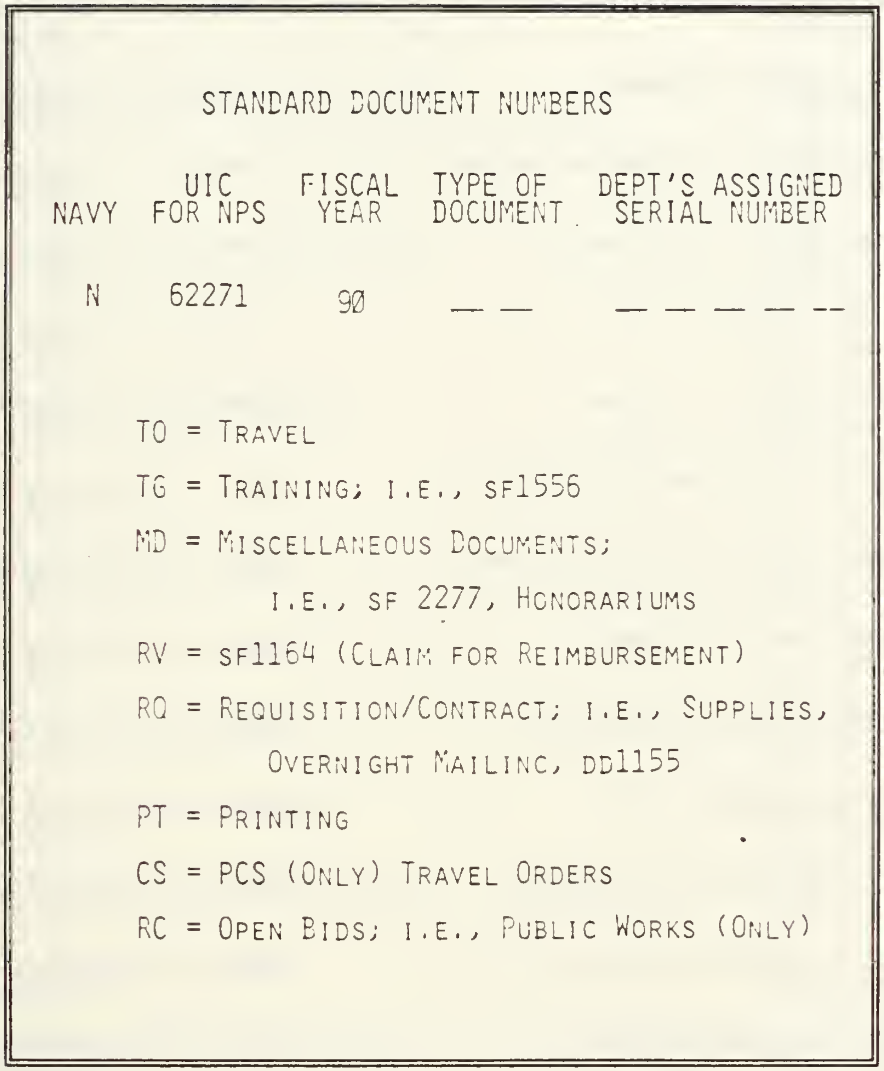
Figure E.3 Cost Center/Sub-Cost Center OPTAR Codes (con't)

APPENDIX F

Sub-Cost Center
OPTAR
Document Serial Numbers

DE	COST CENTER	SUB-COST CENTER	DEPT	SAG	SFC
61	06	HB	PHYSICS	MZ	A8
62	06	HC	ECE	MZ	A8
63	06	HD	METEOROLOGY	MZ	A8
67	06	HE	AERO	MZ	A8
68	06	HF	OCEAN	MZ	A8
69	06	HG	MECH ENG	MZ	A8
012	06	HH	RES ADMIN	MZ	A8
72	06	HJ	SPACE	MZ	A8
06A	06	HP	PCS CS/WG	MZ	A8
		FMT-FOREIGN MILITARY TRAINING			
305A	FT	KA	FMT SUPPORT	MZ	DA
21	FT	KB	FMT BOS	FF	DA
CC21	FT	KC	FMT TEXTS	FF	DA
03FM	FT	KD	FMT TRAVEL	MZ	DA
451F	FT	KE	FMT COM "O"	FL	DA
04	FT	KF	FMT MILOP	FF	DA
43	FT	KG	FMT PW	FD	DA

Figure E.4 Cost Center/Sub-Cost Center OPTAR Codes (con't)



STANDARD DOCUMENT NUMBERS

NAVY	UIC FOR NPS	FISCAL YEAR	TYPE OF DOCUMENT	DEPT'S ASSIGNED SERIAL NUMBER
N	62271	90	__ __	__ __ __ __ __

TO = Travel

TG = Training; i.e., sf1556

MD = Miscellaneous Documents;
i.e., sf 2277, Honorariums

RV = sf1164 (Claim for Reimbursement)

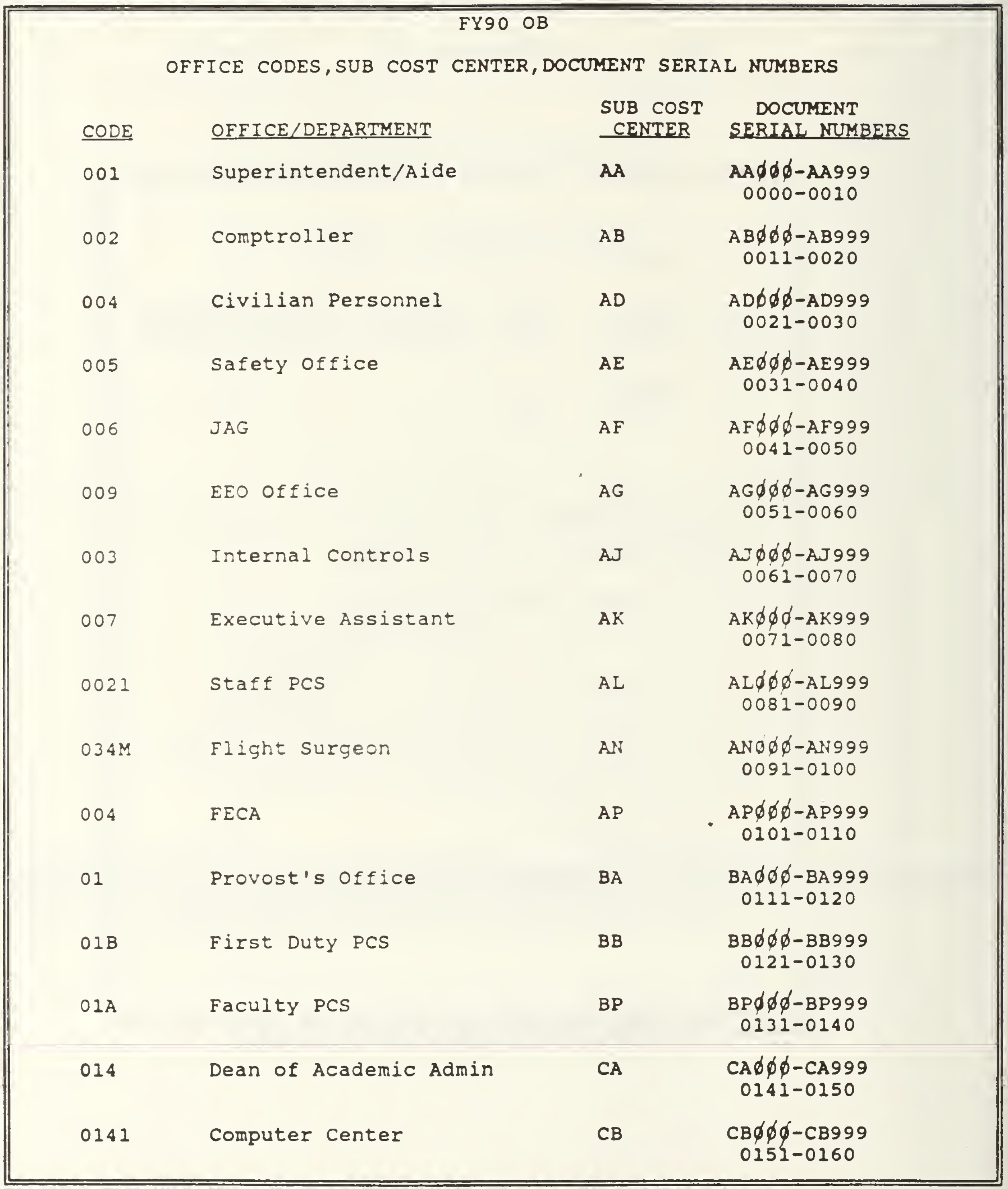
RQ = Requisition/Contract; i.e., Supplies,
Overnight Mailinc, dd1155

PT = Printing

CS = PCS (Only) Travel Orders

RC = Open Bids; i.e., Public Works (Only)

Figure F.1 Standard Document Serial Numbers



FY90 OB

OFFICE CODES,SUB COST CENTER,DOCUMENT SERIAL NUMBERS

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
001	Superintendent/Aide	AA	AA000-AA999 0000-0010
002	Comptroller	AB	AB000-AB999 0011-0020
004	Civilian Personnel	AD	AD000-AD999 0021-0030
005	Safety Office	AE	AE000-AE999 0031-0040
006	JAG	AF	AF000-AF999 0041-0050
009	EEO Office	AG	AG000-AG999 0051-0060
003	Internal Controls	AJ	AJ000-AJ999 0061-0070
007	Executive Assistant	AK	AK000-AK999 0071-0080
0021	Staff PCS	AL	AL000-AL999 0081-0090
034M	Flight Surgeon	AN	AN000-AN999 0091-0100
004	FECA	AP	AP000-AP999 0101-0110
01	Provost's Office	BA	BA000-BA999 0111-0120
01B	First Duty PCS	BB	BB000-BB999 0121-0130
01A	Faculty PCS	BP	BP000-BP999 0131-0140
014	Dean of Academic Admin	CA	CA000-CA999 0141-0150
0141	Computer Center	CB	CB000-CB999 0151-0160

Figure F.2 Sub-Cost Center OPTAR Document Serial Numbers

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
0142	Library	CC	CC000-CC999 0161-0170
0142T	Library-Inst. TV	CD	CD000-CD999 0171-0180
0146	Management Infor. Sys	CE	CE000-CE999 0181-0190
014A	014 PCS Moves (GS/WG only)	CF	CF000-CF999 0191-0200
03	Director of Programs	DA	DA000-DA999 0201-0210
031	Civ Inst	DB	DB000-DB999 0211-0220
034	Aviation Safety	DC	DC000-DC999 0221-0230
036	EMD	DD	DD000-DD999 0231-0240
036P	Print Plant	DE	DE000-DE999 0241-0250
30	OR/SA Program	DF	DF000-DF999 0251-0260
31	Aero Program	DG	DG000-DG999 0261-0270
32	EE/CE Program	DH	DH000-DH999 0271-0280
33	Weapons Eng Program	DJ	DJ000-DJ999 0281-0290
331	ASW Program	DK	DK000-DK999 0291-0300
34	Naval Eng Program	DL	DL000-DL999 0301-0310
35	Air/Ocean Sys Program	DM	DM000-DM999 0311-0320
36	Admin Sci Program	DN	DN000-DN999 0321-0330

Figure F.3 Sub-Cost Center OPTAR Document Serial Numbers (con't)

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
37	Computer Tech Program	DP	DP000-DP999 0331-0340
38	Naval Intel/NSA Program	DQ	DQ000-DQ999 0341-0350
39	C3 Program	DR	DR000-DR999 0351-0360
39T	C3 Travel	DX	DX000-DX999 0361-0370
031L	Law Program	DS	DS000-DS999 0371-0380
0305	Int'l Ed Coord	DT	DT000-DT999 0381-0390
03T	Text Books	DU	DU000-DU999 0391-0400
03V	VEGEP	DV	DV000-DV999 0401-0410
03A	03 PCS Moves (only GS)	DY	DY000-DY999 0411-0420
04	Director of Mil. Ops.	EA	EA000-EA999 0421-0430
41	Admin/Central Files	EC	EC000-EC999 0431-0440
42	Supply	ED	ED000-ED999 0441-0450
42E	EDF	EE	EE000-EE999 0451-0460
42M	Material Div-RSS/HHG	EF	EF000-EF999 0461-0470
44	Physical Security	EH	EH000-EH999 0471-0480
46	Chaplains	EJ	EJ000-EJ999 0481-0490
47	Family Services	EK	EK000-EK999 0491-0500

Figure F.4 Sub-Cost Center OPTAR Document Serial Numbers (con't)

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
451	Open Mess	EL	EL000-EL999 0501-0510
452	Recreation Dept	EM	EM000-EM999 0511-0520
49	UPH Office	EN	EN000-EN999 0521-0530
452C	Child Care Center	ER	ER000-ER999 0531-0540
44F	Fire Department	ES	ES000-ES999 0541-0550
04G	GYM	EU	EU000-EU999 0551-0560
04I	Intramurals	EV	EV000-EV999 0561-0570
04B	BOAT	EW	EW000-EW999 0571-0580
04F	Base OPS (PCS only)	ET	ET000-ET999 0581-0590
43A	Telephone (L1)	FA	FA000-FA999 1521-1570
43B	Transportation (L7)	FB	FB000-FB999 1571-1620
43C	Maintenance (M1)	FC	FC000-FC999 1621-1720
43D	Utilities (N1)	FD	FD000-FD999 1721-1770
43E	Engineering Support (P1)	FE	FE000-FE999 1771-1820
43F	Minor Construction (R1)	FF	FF000-FF999 1821-1930
43H	Maintenance (M2)	FH	FH000-FH999 -----------
43J	Minor Construction (R2)	FJ	FJ000-FJ999 -----------

Figure F.5 Sub-Cost Center OPTAR Document Serial Numbers (con't)

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
43K	Audio Visual	FK	FK000-FK999 1931-1980
43L	Hazardous Mat.	FL	FL000-FL999 1981-2090
05	Dean of Info & Pol Sci	GA	GA000-GA999 0591-0600
52	Computer Sci Dept	GB	GB000-GB999 0601-0610
53	Math Dept	GC	GC000-GC999 0611-0620
54	Admin Sci Dept	GD	GD000-GD999 0621-0630
55	Ops Research Dept	GE	GE000-GE999 0631-0640
56	NSA Dept	GF	GF000-GF999 0641-0650
011	Dean of Edu. Dev.	GH	GH000-GH999 0651-0660
71	ASW Acad Group	GJ	GJ000-GJ999 0661-0670
73	EW Acad Group	GK	GK000-GK999 0671-0680
74	C3 Acad Group	GL	GL000-GL999 0681-0690
05A	PM05 PCS(GS/WG only)	GM	GM000-GM999 0691-0700
06	Dean of Science/Eng	HA	HA000-HA999 0701-0710
61	Physics Dept	HB	HB000-HB999 0711-0720
62	Elec/Comp Eng Dept	HC	HC000-HC999 0721-0730
63	Metorology Dept	HD	HD000-HD999 0731-0740

Figure F.6 Sub-Cost Center OPTAR Document Serial Numbers (con't)

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
67	Aeronautics Dept	HE	HE000-HE999 0741-0750
68	Oceanography Dept	HF	HF000-HF999 0751-0760
69	Mechanical Eng Dept	HG	HG000-HG999 0761-0770
012	Research Admin	HH	HH000-HH999 0771-0780
72	Space Sys Acad Group	HJ	HJ000-HJ999 0781-0790
06A	PM06 PCS (GS/WF only)	HP	HP000-HP999 0791-0800

Figure F.7 Sub-Cost Center OPTAR Document Serial Numbers (con't)

"OTHER"

CODE	OFFICE/DEPARTMENT	SUB COST CENTER	DOCUMENT SERIAL NUMBERS
64	DRMEC OB (65522)	JA	JA000-JA999 2991-3025
0021	DRMEC/Compt. (Utilities)	J4	J4000-J4699
	(Telephone)	J4	J4700-J4999
64	DRMEC FMT (65522)	JB	JB000-JB999 3041-3090
	DRMEC FMT (Utilities)	J6	J6000-J6699
	(Telephone)	J6	J6700-J6999
65	PERSEREC OB (68872)	JE	JE000-JE999 3141-3220
0021	PERSEREC/Compt. (Utilities)	J3	J3000-J3699
	(Telephone)	J3	J3700-J3999
042	PAO (External-1190)	JC	JC000-JC999 3341-3360
0020	OPN		
0021	Official Representation Fund		
0021	O&MN IPA Costs		
0023	Research Reimbursable		
0023	Other Reimbursable		
0023	DMDC		
0023	Reimbursable Tuition		
0021	DRMEC IMET (65522)		
0021	NPS IMET EE (62271)		

Figure F.8 Sub-Cost Center OPTAR Document Serial Numbers (con't)

APPENDIX G

Cost Center/Sub-Cost Center
Direct Funded Research Codes
&
Document Serial Numbers

FY 90 DIRECT FUNDED RESEARCH
DFR

COST CENTER	SUB-COST CENTER	CODE-DEPT	SAG	SFC	SERIAL #'s
		INDIRECT			
ND	LZ	52 - COMPUTER SCIENCE	MZ	XY	LZ000-LZ999 5873-5876
ND	MZ	53 - MATH	MZ	XY	MZ000-MZ999 5877-5880
ND	NZ	54 - ADMIN SCIENCE	MZ	XY	NZ000-NZ999 5881-5884
ND	PZ	55 - OPS RESEARCH	MZ	XY	PZ000-PZ999 5885-5888
ND	QZ	56 - NSA	MZ	XY	QZ000-QZ999 5889-5892
ND	RZ	61 - PHYSICS	MZ	XY	RZ000-RZ999 5893-5896
ND	SZ	62 - ECE	MZ	XY	SZ000-SZ999 5897-5900
ND	TZ	63 - METEOROLOGY	MZ	XY	TZ000-TZ999 5901-5904
ND	UZ	67 - AERO	MZ	XY	UZ000-UZ999 5905-5908
ND	VZ	68 - OCEAN	MZ	XY	VZ000-VZ999 5909-5912
ND	WZ	69 - MECH ENGINEERING	MZ	XY	WZ000-WZ999 5913-5916
ND	XZ	71 - ASW ACAD	MZ	XY	XZ000-XZ999 5917-5920
ND	YZ	72 - SPACE	MZ	XY	YZ000-YZ999 5921-5924
ND	ZY	73 - EW ACAD	MZ	XY	ZY000-ZY999 5925-5928
ND	ZX	74 - C3 ACAD	MZ	XY	ZX000-ZX999 5929-5932

Figure G.1 DFR Codes & Document Serial Numbers

1COST CENTER	SUB-COST CENTER	CODE-DEPT	SAG	SFC	SERIAL #'S
ND	ZW	012 - RESEARCH ADMIN	MZ	XY	ZW000-ZW999 5933-5936
		CHAIRS			
CR	01	52 - GRACE HOPPER	MZ	XY	01000-01999 5817-5820
CR	02	54 - ELSTER-MPTA	MZ	XY	02000-02999 5821-5824
CR	03	55 - COMP SYS	MZ	XY	03000-03999 5825-5828
CR	04	55 - TACTICAL ANALYSIS	MZ	XY	04000-04999 5829-5832
CR	05	55 - APPLIED SCIENCE SYS	MZ	XY	05000-05999 5833-5836
CR	06	61 - UNDERWATER ACCOUSTICS	MZ	XY	06000-06999 5837-5840
CR	07	62 - ELEC/ENGR	MZ	XY	07000-07999 5841-5844
CR	08	63 - RENARD	MZ	XY	08000-08999 5845-5848
CR	09	68 - HANNAH/MC & G	MZ	XY	09000-09999 5849-5852
CR	10	68 - NAV OCEAN	MZ	XY	10000-10999 5853-5856
CR	11	68 - ARTIC MARINE	MZ	XY	11000-11999 5857-5860
CR	12	69 - MC & G HYDROGRAPHY	MZ	XY	12000-12999 5861-5864
CR	13	73 - ELECTRONICS	MZ	XY	13000-13999 5865-5868
CR	14	74 - JOINT C3	MZ	XY	14000-14999 5869-5872

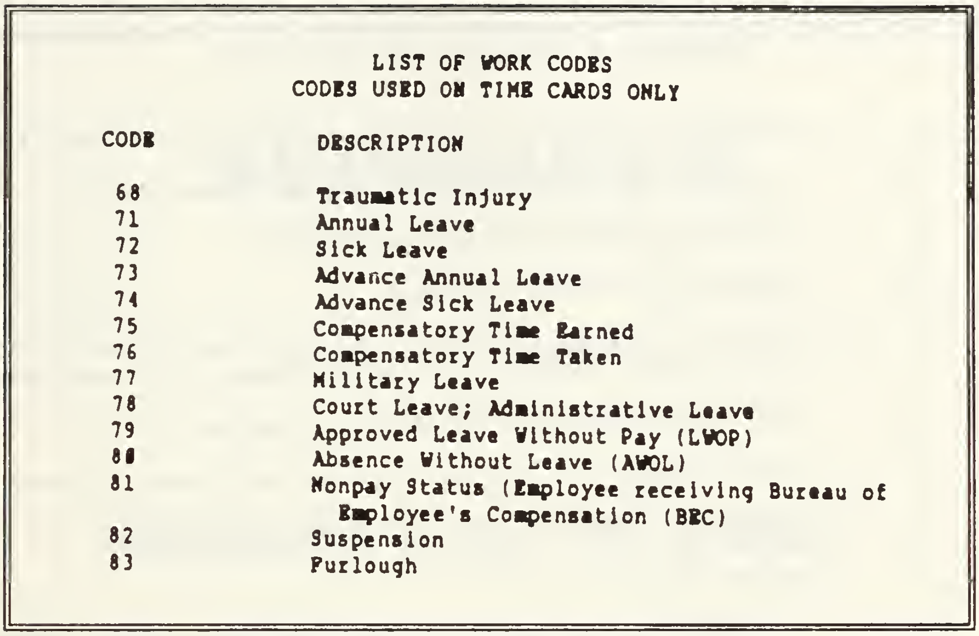
Figure G.2 DFR Codes & Document Serial Numbers (con't)

COST CENTER	SUB-COST CENTER	CODE-DEPT	SAG	SFC	SERIAL #'S
		PROJECTS			
12	LA	52 - COMP SCIENCE	MZ	XY	LA000-LAZ99 4376-4468
12	MA	53 - MATH	MZ	XY	MA000-MAZ99 4469-4560
12	NA	54 - ADMIN SCIENCE	MZ	XY	NA000-NAZ99 4561-4652
12	PA	55 - OPS RESEARCH	MZ	XY	PA000-PAZ99 4653-4744
12	QA	56 - NSA	MZ	XY	QA000-QAZ99 4745-4836
12	RA	61 - PHYSICS	MZ	XY	RA000-RAZ99 4837-4988
12	SA	62 - ECE	MZ	XY	SA000-SAZ99 4989-5172
12	TA	63 - METEOROLOGY	MZ	XY	TA000-TAZ99 5173-5272
12	UA	67 - AERO	MZ	XY	UA000-UAZ99 5273-5364
12	VA	68 - OCEAN	MZ	XY	VA000-VAZ99 5365-5548
12	WA	69 - MECH ENGINEERING	MZ	XY	WA000-WAZ99 5549-5640
12	XA	71 - ASW ACAD	MZ	XY	XA000-XAZ99 5641-5684
12	YA	72 - SPACE	MZ	XY	YA000-YAZ99 5685-5732
12	ZA	73 - EW ACAD	MZ	XY	ZA000-ZAZ99 5733-5756
12	ZB	74 - C3 ACAD	MZ	XY	ZB000-ZBZ99 5757-5816
12	ZZ	012 - RESEARCH	MZ	XY	ZZ000-ZZ999 5937-5944

Figure G.3 DFR Codes & Document Serial Numbers (con't)

APPENDIX H

Time and Labor Codes

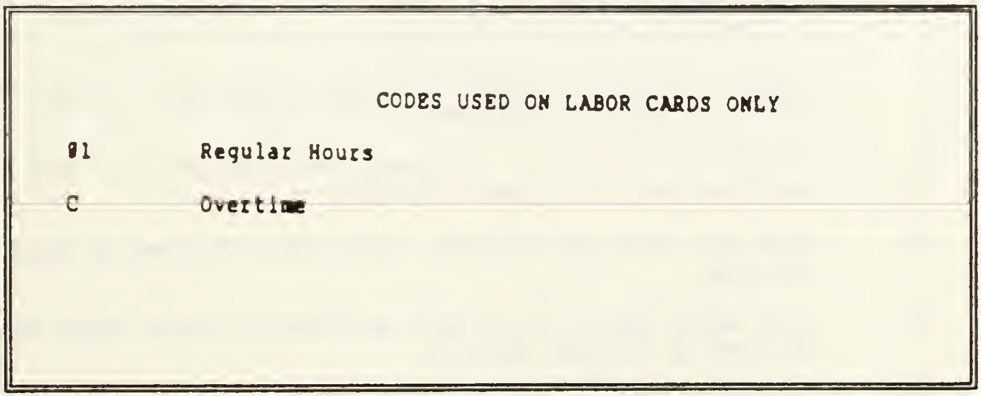


```
                     LIST OF WORK CODES
                 CODES USED ON TIME CARDS ONLY

   CODE            DESCRIPTION

    68             Traumatic Injury
    71             Annual Leave
    72             Sick Leave
    73             Advance Annual Leave
    74             Advance Sick Leave
    75             Compensatory Time Earned
    76             Compensatory Time Taken
    77             Military Leave
    78             Court Leave; Administrative Leave
    79             Approved Leave Without Pay (LWOP)
    80             Absence Without Leave (AWOL)
    81             Nonpay Status (Employee receiving Bureau of
                     Employee's Compensation (BEC)
    82             Suspension
    83             Furlough
```

Figure H.1 Time Card Work Codes

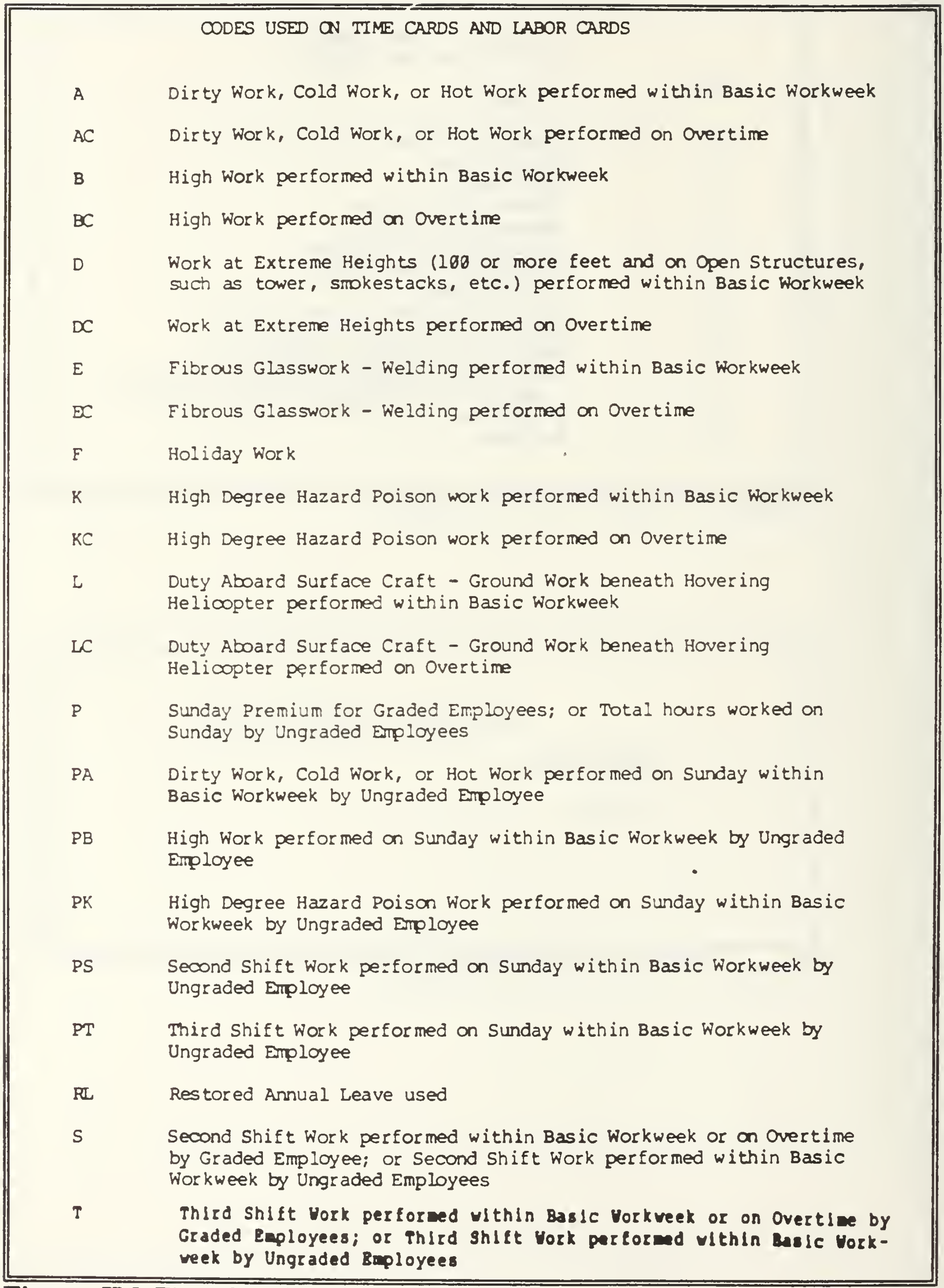


```
                    CODES USED ON LABOR CARDS ONLY

 01        Regular Hours

 C         Overtime
```

Figure H.2 Labor Card Work Codes



CODES USED ON TIME CARDS AND LABOR CARDS

A	Dirty Work, Cold Work, or Hot Work performed within Basic Workweek
AC	Dirty Work, Cold Work, or Hot Work performed on Overtime
B	High Work performed within Basic Workweek
BC	High Work performed on Overtime
D	Work at Extreme Heights (100 or more feet and on Open Structures, such as tower, smokestacks, etc.) performed within Basic Workweek
DC	Work at Extreme Heights performed on Overtime
E	Fibrous Glasswork - Welding performed within Basic Workweek
EC	Fibrous Glasswork - Welding performed on Overtime
F	Holiday Work
K	High Degree Hazard Poison work performed within Basic Workweek
KC	High Degree Hazard Poison work performed on Overtime
L	Duty Aboard Surface Craft - Ground Work beneath Hovering Helicopter performed within Basic Workweek
LC	Duty Aboard Surface Craft - Ground Work beneath Hovering Helicopter performed on Overtime
P	Sunday Premium for Graded Employees; or Total hours worked on Sunday by Ungraded Employees
PA	Dirty Work, Cold Work, or Hot Work performed on Sunday within Basic Workweek by Ungraded Employee
PB	High Work performed on Sunday within Basic Workweek by Ungraded Employee
PK	High Degree Hazard Poison Work performed on Sunday within Basic Workweek by Ungraded Employee
PS	Second Shift Work performed on Sunday within Basic Workweek by Ungraded Employee
PT	Third Shift Work performed on Sunday within Basic Workweek by Ungraded Employee
RL	Restored Annual Leave used
S	Second Shift Work performed within Basic Workweek or on Overtime by Graded Employee; or Second Shift Work performed within Basic Workweek by Ungraded Employees
T	Third Shift Work performed within Basic Workweek or on Overtime by Graded Employees; or Third Shift Work performed within Basic Workweek by Ungraded Employees

Figure H.3 Time & Labor Card Work Codes

APPENDIX I

Standard Form 52 Guide

DEPARTMENT OF THE NAVY
NAVAL CONSTRUCTION BATTALION CENTER
PORT HUENEME CALIFORNIA 93043 5000

IN REPLY REFER TO
Canc frp: Feb 89
CBCNOTE 12296
Code 231

CBC NOTICE 12296

From: Commanding Officer

Subj: SF 52 GUIDE (REQUESTS FOR PERSONNEL/POSITION ACTIONS)

Ref: (a) FPM Supplement 296-33

Encl: (1) Guide For Preparing and Submitting SF 52

1. Purpose. To publish the SF 52 Guide for preparing and submitting Personnel/Position actions, for all supervisors at CBC and tenant activities serviced by the Civilian Personnel Office.

2. Information.

a. Timely and accurate processing of personnel/position actions is of vital importance to organizations and individuals. Delays in processing actions may be caused by improper completion of forms or incomplete packages submitted to CPO. Subchapter 3. of reference (a) provides some guidance in completion of the SF 52s but leaves agencies and activities free to develop their own more specific instructions. Enclosure (1) has been developed for guidance to:

(1) Help minimize delays in processing personnel/position actions

(2) Advise management at serviced activities of information required on SF 52s

(3) Provide standardized formats for SF 52s; and

(4) Explain how the progress of SF 52 actions is monitored using the CPO tracking system and how this system can provide information for your organization.

b. This guide has been distributed to supervisors as an administrative tool only, to be used as a desk guide to processing personnel or position actions. New Federal policy and OPM and Navy guidance is issued constantly and therefore this handbook should be not considered Official Personnel Policy.

3. Action. If you have any questions or comments regarding information in this booklet, please call the Operations Division of the Civilian Personnel Office.

4. Forms. A new format SF-52 will be available in the near future from SERVMART. Current style SF-52s are acceptable until October 1988 when the new forms will become mandatory. This guide will be revised prior to that date to incorporate the changes.

INTRODUCTION

This handbook has been written to provide guidance to supervisors on preparation of SF 52s. Numerous examples of commonly used personnel/position action requests have been included. There is also a section on "Tips Concerning Requests for Personnel Actions".

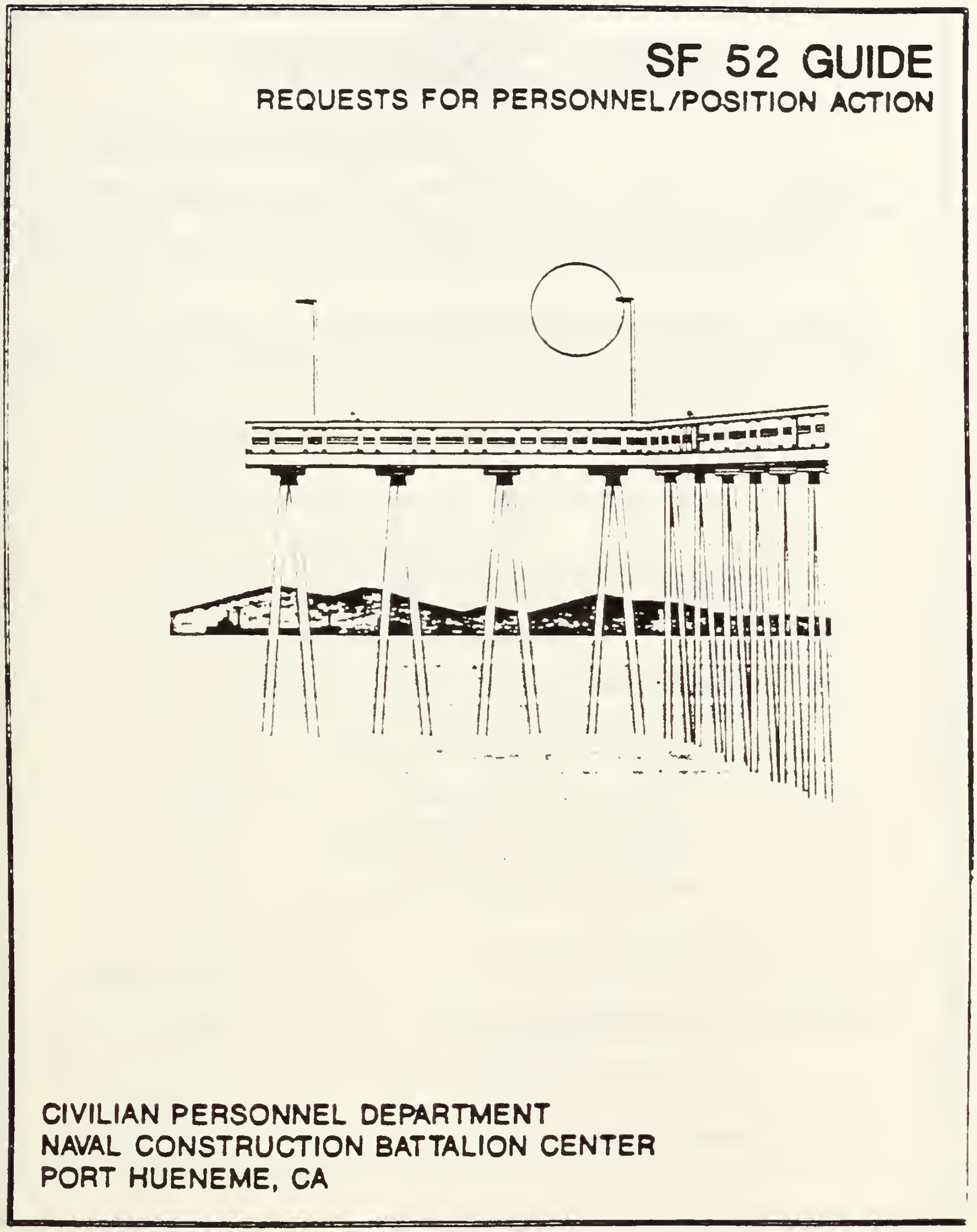
Where appropriate, information and instructions reflect Managing to Payroll concepts. There is a separate section on Managing to Payroll which outlines procedures to notify CPO of organizational changes you make under your delegated position management authority.

Submitting the correct paperwork with each SF 52 action facilitates processing of actions and minimize delays. Section G. lists documents required as enclosures for each type of action and some examples of these enclosures are included. Another section provides guidelines for processing personnel actions for Student Aids.

There is also a section on the CPO SF 52 Tracking System and the SF 52 Numbering System. These and other program changes implemented in CPO are outlined in a memo included in this section along with a breakdown of how the SF 52 numbers are derived. The Operations Division currently uses the SF 52 numbers on recruitment actions as the Merit Promotion case number for the vacancy announcements.

The final section included is a Glossary of Terms which are either included in this guide or which you may encounter during processing Personnel/Position Actions. If you come across any terms in the body of the guide with which you are not familiar, they should be defined in this section.

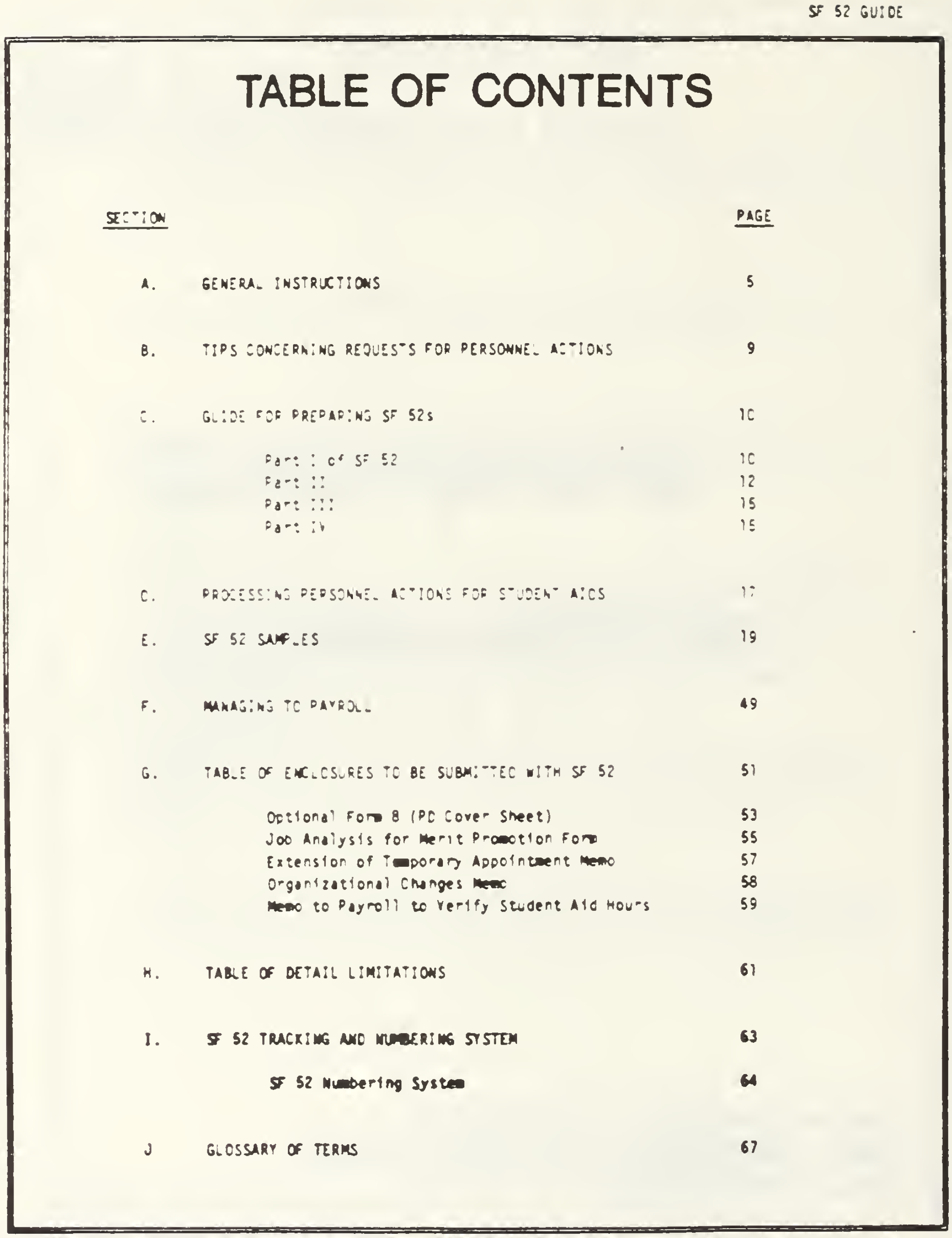
This manual serves as an administrative guide only; as an aid to processing personnel or position actions. Since new Federal policy and OPM and Navy guidance is issued constantly this handbook should be not considered official policy of the Civilian Personnel Office.



SF 52 GUIDE

REQUESTS FOR PERSONNEL/POSITION ACTION

CIVILIAN PERSONNEL DEPARTMENT
NAVAL CONSTRUCTION BATTALION CENTER
PORT HUENEME, CA



SF 52 GUIDE

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SECTION A

GENERAL INSTRUCTIONS

1. **PROCESSING POSITION AND PERSONNEL ACTIONS:**

Responsibility for making decisions regarding the civilian workforce rests with supervisors. Supervisors, therefore, initiate all personnel action requests (SF 52s) except those originated by CPC such as step increases, completion of probationary periods, and automatic conversions; or those actions initiated by employees, i.e., name changes, resignations, and retirements.

All SF 52 Personnel/Position Action requests should be hand carried to the "Information Management Group" of the Civilian Personnel Office in Bldg 14, for logging into the CPC tracking system, do not use guard mail for delivery of SF 52s. The SF 52 will be stamped in and routed to the appropriate section of the Personnel Office.

2. **PERSONNEL ACTIONS:**

Personnel actions pertain to individual employees and include:

a. Appointment to an established position

b. Promotion from an established position to another of a higher grade

c. Change to lower grade of an established position

d. Reassignment from one established position to another of the same grade level

e. Resignation, removal, termination, retirement, death, and reduction-in-force.

f. Leave with or without pay

g. Return to duty

h. Detail

i. Name Change

3. **POSITION ACTIONS:**

Actions regarding positions, either occupied or vacant, must not be confused with personnel actions. Position actions are primarily of the following types:

a. Establish

b. Cancel

c. Change of Sensitivity

4. SF 52 EXAMPLES:

Section E provides specific examples of SF 52s for personnel and position actions. If a position action is concurrent with a personnel action, a separate SF 52 will normally not be needed for each action. Examples include; "Recruit and Establish", "Recruit, Cancel and Establish", "Promotion (Accretion of Duties) and Establish".

5. REQUEST FOR ACTIONS BASED ON ADMINISTRATIVE NEEDS:

SF 52s are initiated for the following:

a. Existence of Vacant Position. Request to Recruit on a position.

b. Increase in Number of Positions. Request to establish a new position or one identical to another position already established. The request to establish should be combined with the request to recruit on the position if the position is to be to filled immediately. (See Section F).

c. Decrease in Number of Positions. Request to cancel a position no longer needed, to transfer the position with its function to another organization, or to cancel position to meet directed changes in manpower authorizations. (See Section F).

(1) If the position being cancelled is occupied and the encumbent is being transferred to another position within the department as part of a realignment, the Position Action request "CANCEL" is combined with the Personnel Action request for "REASSIGNMENT" of the employee.

(2) If an occupied position is transferred to another organization or activity, the employee may be entitled to move with the position but this type of action will usually require two separate SF 52 Personnel/Position Action requests.

d. Redescription of Duties and Responsibilities in Established Positions. All position action requests to establish new positions and cancel positions must be accompanied by a copy of the PD and may be combined with the request for personnel action to promote or reassign the incumbent if appropriate.

6. REQUEST FOR ACTIONS BASED ON EMPLOYEE REQUESTS:

Part IV of the SF 52, Employee Resignation, is for use by employees separating or resigning. It is appropriate for the employee to complete this part, in his/her own words, to give notice of such actions as:

a. Resignation

b. Separation for transfer to another agency

c. Separation for military service

d. Retirement

e. Leave without pay

7. REQUESTS FOR ACTIONS REQUIRED FOR RECORD CHANGES:

The following circumstances require adjustment or notation in employee official records and may require changes in the Naval Civilian Personnel Data System (NCPDS) database. It is essential that the Personnel Office be advised promptly when such circumstances occur because salary payments and reports used by other offices and agencies may be affected.

a. Leave without pay for over 30 days

b. Return to duty after a period of LWOP

c. Name change

d. Death of employee

e. Mass Change (movement of an employee with a position). If more than one employee is involved, a single SF 52 may be submitted accompanied by a list of names.

f. Change in official duty station (geographical change) when no other change in the employee's assignment is occuring.

g. Change in Position Description number

h. Change in title of organization to which postion is assigned.

8. SF 52s PREPARED AND PROCESSED BY THE PERSONNEL OFFICE:

SF 52s for the following actions are prepared and processed by the Personnel Clerks/Assistants in the Civilian Personnel Office:

a. Corrections

b. Death of an Employee

c. Name Change

d. Retirement

e. Change in Life Insurance

For Name changes and Changes in Life Insurance, an appointment should be scheduled ahead of time, with a Personnel Actions Clerk of the Records team, Code 231. For Retirements, an appointment should be scheduled ahead of time with the Employee Relations Division, Code 234, X4133. The SF 52 will be completed and processed for the employee, by the Civilian Personnel Office staff.

9. RESPONSIBILITIES OF SUPERVISORS:

Decisions about what jobs are needed and where employees should be placed in the organization originate with the supervisor. The responsibilites in requesting actions are to:

a. Consult with the CPO in determining position requirements and technical aspects of requesting or taking personnel or position action.

b. Make sure that all administrative requirements are met before requesting the CPO take appropriate action.

c. Submit required personnel or position action when specifically notified by the CPO for those required for compliance with the law or directive from higher authority.

10. PROCEDURES FOR CANCELLATION OF SF 52

Once a SF 52 has been submitted to the Personnel Office, its progress through CPO is tracked. If you wish to cancel the SF 52, it is important to notify the Personnel Office promptly. Submit a copy of the SF 52 that you wish cancelled, annotated "Cancel" and signed (see Sample # 26 in Section E), to your servicing CPO team and the action will be cancelled from the tracking system and the original SF 52 returned to your department.

11. PROCEDURES FOR RETURNING THE SF 52 TO THE DEPARTMENT WITHOUT ACTION

When a SF 52 needs to be returned temporarily to the department without action, for administrative or other reasons, the SF 52 should be logged out of our tracking system by CPO staff, prior to it leaving the department. When the SF 52 is returned to CPO, it should be routed as though it were a new action and re-entered into the tracking system and should not be returned directly to your Operations team.

12. DISPOSITION OF RECORDS

Upon completion of the Personnel or Position Action, and after any issuance and distribution of a SF 50, the SF 52 is maintained by CPO. All SF 52s requesting Personnel Actions, pertaining to an individual are filed in that employee's OPF. Mass Change SF 52s, or any SF 52s affecting more than one individual are maintained in files in CPO. Recruitment SF 52s are filed in the OPF of the individual recruited into the position;. SF 52s for Position Actions not pertaining to an individual or individuals are maintained by the Operations Teams in a PD file.

SECTION B

TIPS CONCERNING REQUESTS FOR PERSONNEL ACTIONS

1. EFFECTIVE DATES AND TIME OF SUBMISSION:

Many types of actions may not be made effective retroactively because of legal restriction. SF 52s must be submitted before the desired effective dates for such actions as appointments, details over 30 days, temporary promotions, reassignments, removals and suspensions. Supervisors should prepare and submit SF 52s for all actions as soon as the need occurs or becomes known, usually at least 30 days in advance of the proposed effective date for all actions other than recruitments.

2. MEANING OF RECRUITMENT

The term "Recruitment" is used whenever action is desired to fill a position and the prospective incumbent is not known. The name, SSN and other relevant blocks will be completed by CPC after an individual has been selected for appointment, promotion or reassignment.

3. ORGANIZATIONAL LOCATION

Blocks 27 and 28 should be filled in as completely as possible. Use the name and code of the office where the position is located as it appears in the NCPDS organization listing for your activity to include branch, division, department, activity and Cost Center/Work Center information. SF 52s without Code or Cost Center/Work Center may be subject to delays in processing while your department is contacted to obtain the information.

4. COPIES

Supervisors should prepare all SF 52s in two copies, sending the original (blue) to CPC to complete the action, retaining the copy as a suspense record while the action is pending.

SECTION C

GUIDE FOR PREPARING REQUEST FOR PERSONNEL ACTIONS

This section takes you through the SF 52 form block by block, identifying information required in each item. SF 52, Rev. November 1985 is used. All previous issues are obsolete.

Part 1 - Requesting Office:

Item A. Each organization should enter their internal SF 52 number in this block to control submission to CPO, as outlined in the samples in Section E eg SUP86149. This number must be on the SF 52 when submitted to CPO, those SF 52s without numbers are subject to delays while your department is contacted to obtain a number.

Item B Enter the name and telephone extension of the person who is familiar with the action and can furnish additional information, if required (usually the department personnel coordinator, administrative assistant or the immediate supervisor).

Item C. Fill in the kind of Personnel Action desired.

Recruitments must state whether they are to be permanent or temporary e.g. "RECRUITMENT (PERMANENT)" or "RECRUITMENT TNTE 1YR". If temporary, the reason for the recruitment being temporary should be inserted in the remarks block Item I.

Promotions must state what type of promotion e.g. "PROMOTION (ACCRETION OF DUTIES)" or "PROMOTION (CAREER LADDER)".

Details: The "Not to Exceed" number of days/date should be inserted in this block eg "EXTENSION OF DETAIL NTE 120 DAYS" and not in Item I (Remarks). (See Sample #s 3, 4 and 5 in Section E).

Temporary Promotions: The "Not to Exceed" number of days/date should be inserted in this block eg "EXTENSION OF TEMPORARY PROMOTION NTE 120 DAYS" and not in Item I (Remarks). (See Sample #s 12 and 14 in Section E).

Item D. This is the date on which the personnel action is desired. For resignations, enter date that the employee selects. Proposed dates must reflect a reasonable amount of time in which to complete the action. DO NOT USE ASAP.

Recruitments: Use date that position will become vacant if submitting SF 52 to replace an employee who is transferring, retiring or resigning, otherwise leave blank.

Details: Put in date required.

Career Ladder/UMP Promotion: Put in the date of the beginning of the Pay Period following the date that the employee will be eligible for promotion.

Resignation: Put in date employee requests.

* When at all possible without undue inconvenience to the employee or the department, effective dates will be at the start of a new pay period. *

Item E. Include name and title of requestor and the date the action is initiated. If the signer omits the date, it should be stamped or written. Do not complete this block on employee requested actions such as LWOP.

Item F. Fill in the kind of Position Action required; for example, "ESTABLISH", "CANCEL" or "CHANGE IN SENSITIVITY". Leave blank for employee requested actions. If a new position, "ESTABLISH" should be inserted in this block. Requests by the department for an official Review of a position are no longer required as a separate "REVIEW" action in this block. The review process should be performed with your assigned Personnel Management Specialist prior to submission of any SF 52 rather than after the action is requested.

Item G. Date requested position action is desired. Do NOT use ASAP.

Item H. This block shows the name and title of the person authorized to approve the personnel action request, normally the Managing to Payroll Manager. This block may be signed by direction, however, Managing to Payroll responsibilities cannot be delegated by direction.
Date signed should be written, typed or stamped after signature.

Item I. Enter any additional information needed to explain the requested action. Most remarks should be inserted in this block and not in block 37 of Part II, which is for the use of CPO. This block may also be used to transmit explanatory information instead of an accompanying memo. Information to be inserted in this block includes the following:

*Billet Occupational Code - This should be inserted on all SF 52 actions as shown in the SF 52 examples in Section E.

*Security Clearance - All recruitments/reassignments to Non Critical Sensitive positions should state either "Security Clearance Required" or Security Clearance Not required". For all other recruitments or reassignments insert remark only if a security clearance is required for the position. Further information can be found in NCPCINST 5521.1 of 15 Apr 82, the Navy Civilian Personnel Security Program.

*Sensitivity Change - Must state in this block the reason for change.

*Physical Requirements - State in this block if a physical is required for the position.

*Amendments to information submitted on previously submitted, related SF 52s may be included in this block. The SF 52 Number must be referenced and the information to be amended. (See Sample #s 5, 8 and 14 in Section E).

*Special conditions of employment
*Information about positions to be filled
*Indicate new work schedule or change in the number of hours scheduled to work
*Reason for detail or extension of detail must be inserted in this block

*Recruitments should include the following information in Item I if relevant:

Vice......(Name) employee scheduled for LWOP
(Name) who has accepted promotion
(Name) who is resigning
(Name) who is retiring

All recruitments expected to be filled by Merit Promotion except those for which a register exists should be accompanied by a Job Analysis form (a sample of which is included in Section 6) and should have the following information included in this block:

Duration of Announcement.............
Area of Consideration................
Ranking Official is (and Ext)........
Selecting Official is (and Ext)......
First Level Supervisor is (and Ext)..

SF 52s for recruitments expected to be filled using a register, or using other than Merit Promotion procedures (not accompanied by a Job Analysis form, should have the following information in this block:

Selecting Official is (and Ext)......
First Level Supervisor is (and Ext)..

Recruitments for Temporary positions should include the reason for the recruitment being temporary e.g. Covered by a Commercial Activities (CA) study.

*Career Ladder Positions must indicate at which level(s) the job is to be filled e.g. GS 5/7/9 - Do you wish to recruit at the GS-5 and GS-7 levels for progression to the GS-9 level or do you wish to recruit at all levels?

*Promotions in a career ladder position - Insert phrase that states that employee is now performing at the level of the promotion and performance is satisfactory.

*Area of Consideration should be included in this block for actions expected to be filled by Merit Promotion (other than by a register) as it is no longer on the Job Analysis form. A sample of the new Job Analysis for Merit Promotion form is found in Section 6.

Part II - Used For Preparation of SF 50:

Item 1. Enter the name as shown on previous SF 50s for employee actions. Enter the employee's last name first in all CAPITAL letters, followed by the first name or initial and middle name or initial as shown in the sample SF 52s in Section E. Do not enter "Mr.", "Miss". "Ms." or "Mrs." or any other title. Complete this block on all actions affecting a specific employee, leave blank for recruitments.

Item 2. Enter Social Security Number on all SF 52 on which Item 1. (Name) is being completed. Check SSN against previous SF 50s. Leave blank unless Item 1 is completed.

Item 3. Enter the sensitivity designation of all positions as follows:

NS	Non Sensitive
NCS	Non Critical - Sensitive
CS	Critical Sensitive
SS	Special Sensitive

All Recruitment actions for Non Critical - Sensitive (NCS) positions should state in Item I whether or not a Security Clearance is required.

Item 4. Enter Date of Birth on all SF 52s for which Items 1 and 2 have been completed. Check Date of Birth against previous SF 50s on the employee.

Items 5-19 Leave Blank

Item 20. Enter position title and PD number as shown on employee's last SF 50. Complete when:

a. The requested action moves an employee from a position.

b. Change action places the employee in a nonpay status.

c. An action moves the employee to another position.

d. Actions that extend or terminate a detail to unclassified duties.

Abbreviations should not be used e.g. spell out "Supervisory", "Assistant", "Specialist", "Technician".

Item 21. Enter the location of position as it appears in the NCPDS Organization listing to include Department, Code, Branch, Division, Activity and Cost Center/Work Center (see SF 52 samples in Section E). It is not necessary to insert Clock Number on the SF 52. SF 52s without Code or Cost Center/Work Center may be subject to delays while your department is contacted to obtain this information. Leave this block blank for PMRS Performance Awards and PMRS Cash Awards. This block must be completed for:

a. Separations.

b. Change actions that place an employee in a non-pay status.

c. Any other change action that moves employee to a different office.

Item 22. Enter the Pay Plan and Series as shown in the "To" portion of employee's last SF 50 e.g GS 0301, WG 6907 or GM 1515. This block must be completed for:

a. Separations.

b. Change action that places an employee in a non pay status.

c. Any action that moves employee to a different pay plan and/or series.

Item 23. Enter the grade as shown in the "To" portion of employee's last SF 50, eg 06, 09 or 11. Must be completed for:

a. Separations.

b. Change action that places an employee in a non pay status.

c. Any action that moves employee to a different grade or level.

Item 24-26 Leave blank. Step, Salary and Pay Basis will be inserted by CPO staff.

Item 27. Enter position title and PD# if known. Abbreviations should not be used. Complete for all actions except:

a. Change action that places the employee in a non pay status.

b. Separations.

c. Details to unclassified positions

d. Cancelled Positions which are not replaced (See Sample # 2 in Section E).

Item 28. Enter the location of position as it appears in the NCPDS Organization listing to include Department, Code, Branch, Division, Activity and Cost Center/Work Center (see SF 52 samples in Section E). It is not necessary to insert Clock Number on the SF 52. SF 52s without Code or Cost Center/Work Center may be subject to delays while your department is contacted to obtain this information). Leave blank for:

a. Change action that places employee in a non pay status.

b. Separations that are not immediately followed by appointment to another agency.

Item 29. Enter the Pay Plan and Series as shown on the Position Description cover sheet, OF8. Leave blank for:

a. Details to unclassified duties

b. Separation actions and actions that place an employee in a non pay status.

Item 30. Enter the grade of the position, for example "09", "11". For details to unclassified duties, enter "00". For details to positions that are classified and at a higher or lower grade than the employee's current position, enter the grade of the position to which the employee is being detailed.

OR

For recruitments for upward mobility, trainee, career ladder or any other positions with multiple grades, enter all grades e.g "4/5" or "5/7/9/11". The grade at which the position is filled will appear on the SF 50.

Leave blank for:

a. Separations.

b. Change action that places an employee in a non pay status.

Item 31 Do not insert Step or Rate (this will be added by the Personnel Office) except if the Personnel Action is an Incentive Award then the Step of the awardee may be inserted in this block. (See Sample # 1 in Section E)

Item 32. Do not insert Salary in this block, this will be added by the Personnel Office. If the Personnel Action is an Incentive Award the amount of the award may be inserted in this block.

Item 33. Do not insert Pay Basis - This will be added by the Personnel Office.

Item 34. Enter location of employee's official duty station. For those in U.S. enter "City-County-State" or "City-State" as appropriate e.g. Port Hueneme, Ventura, CA

Item 35-36 Leave blank.

Item 37. Please do not insert general remarks in Block 37. Most remarks should be inserted in block I of Part I. The only remarks that should be inserted in this block are those that will appear directly on the SF 50 such as accounting data (Job Order Number) or Merit Pay Unit for payment of an award.

Item 38-39 Leave blank.

Part III - Clearances: (See Page 44 for Sample of back of SF 52 form)

Item A - C Leave Blank

Part IV - Employee Resignation/Retirement: (See Page 44 for Sample of back of SF 52 form)

Item A. This block is used by employees to indicate reasons for resignation or separation, and any other pertinent information. For retirements the staff of the Employee Relations Division will prepare the SF 52 and insert in this Block "I am eligible and wish to retire".

Item B. Used for date that the employee intends to resign or retire. Normally after a SF 52 is submitted for a resignation, the action cannot be cancelled.

Item C. Employees who are completing Blocks A and B should sign in this Block. Retirees sign this block during scheduled appointment with Employee Relations Division staff of CPO.

Item D. All signatures must be dated.

Item E. Forwarding addresses, should be inserted by the employee for any retirement, resignation or Leave without Pay.

SECTION D

PROCESSING ACTIONS FOR STUDENT AIDS

Personnel/Position actions processed on behalf of Students employed under the Stay-in-School/Summer Aid programs require slightly different treatment than those for other employees. This program employs low income and disabled students so they can resume or continue their education without interruptions caused by financial pressures. These programs also promote Federal employment as a career option. Detailed information on all aspects of these programs can be found in the "Supervisor's Guide for SIS/Summer Aid programs" available from the Civilian Personnel Office; the following section serves to help managers and supervisors in providing these unique employees with accurate and timely personnel actions.

1. PERSONNEL ACTIONS

SF 52s for SIS Summer Aids should be forwarded to CPO in the same manner as all other Personnel/Position actions. All SF 52s pertaining to Student Aids are forwarded to the SIS Summer Aid coordinator, Code 231E after being entered in to the CPO tracking system. All Student Aid appointments are Not to Exceed 1 year (NTE 1YR); all Summer Aid appointments are term appointments specifically during 13 May - 30 Sep each year. Personnel actions should be forwarded to the Civilian Personnel Office for the following.

a. Recruitment of SIS/Summer Aid: SF 52s should be accompanied by 1 copy of the PD (no Job Analysis is required). If your job requires specific skills such as a little typing, woodwork etc., include these in the SF 52 in Item I, Remarks. These skills should also be addressed in the PD. Standard PDs for Student Aids have been prepared and are available from CPO Code 231E.

b. Promotion of SIS/Summer: Students are eligible for promotion after demonstrating satisfactory performance and the ability to perform higher level duties. The minimum qualification requirements are as follows:

(1) GW-1 or WW-1: 520 hours of SIS/Summer Aid or relevant experience

(2) GW-2 or WW-2: 1040 hours of SIS/Summer Aid or relevant experience OR
Graduation from High School OR
Completion of 15 semester hours/22 quarter hours of college

(3) GW-3 or WW-3: This promotion may be submitted for a student enrolled full time in college who is already a GW-2 or WW-2.
2080 hours of SIS/Summer Aid or relevant experience OR
Completion of 30 semester hours/45 quarter hours of college

Supporting documents verifying student's eligibility for promotion must be submitted with the SF 52 i.e. verification of the number of hours worked, college transcripts, High School diploma. A copy of the form you may send to Payroll to verify total hours under SIS/Summer is included in Section G and Sample #13 in Section E shows the format of the SF 52.

c. Conversion: If a student is employed as a Summer Aid and your department and the student wish to continue employment during the fall, a SF 52 should be submitted to CPO converting the Student to the SIS program and to Part time instead of full time. Eligibility requirements must be met by the student before conversion can be completed.

d. Change in Work Schedule: All students may work part time up to 20 hours per week. If the student wishes to permanently change their work schedule, a SF 52 should be submitted to CPO indicating the changes in the remarks section, Item I, the changes involved. A student in the SIS program may work full time any time school is officially closed and in any vacation period without submitting a SF 52 but a memorandum to Payroll, Code 2421, is required, indicating this temporary increase in hours worked.

e. Reassignment: Any time a student is reassigned to a different division, or is assigned a different line of work at the same grade level, a SF 52 documenting this change should be submitted to CPO. This gives the student credit for work performed and allows the SIS/Summer Aid coodinator in CPO to keep track of where and how each student is employed. Any change in job site must be arranged in advance with the SIS/Summer Aid coordinator who must communicate with the High School district.

f. Termination: If the student drops out of college or high school, receives their baccalaureate (four year) degree or does not meet the financial requirements of these programs they will no longer be allowed to be enrolled as a SIS/Summer Aid and will be terminated immediately. A student may also be dropped for poor performance or conduct after coordination with CPO and adequate documentation is provided.

2. FINANCIAL STATUS

Financial eligibility for the SIS/Summer Aid program is checked each time a promotion, appointment or reappointment occurs. According to FPM 308, eligibility to continue in the SIS/Summer Aid program must be re-verified before a personnel action can be completed. The student must provide this information to the Student Aid coordinator, 231E, at the time of the personnel action.

SECTION E

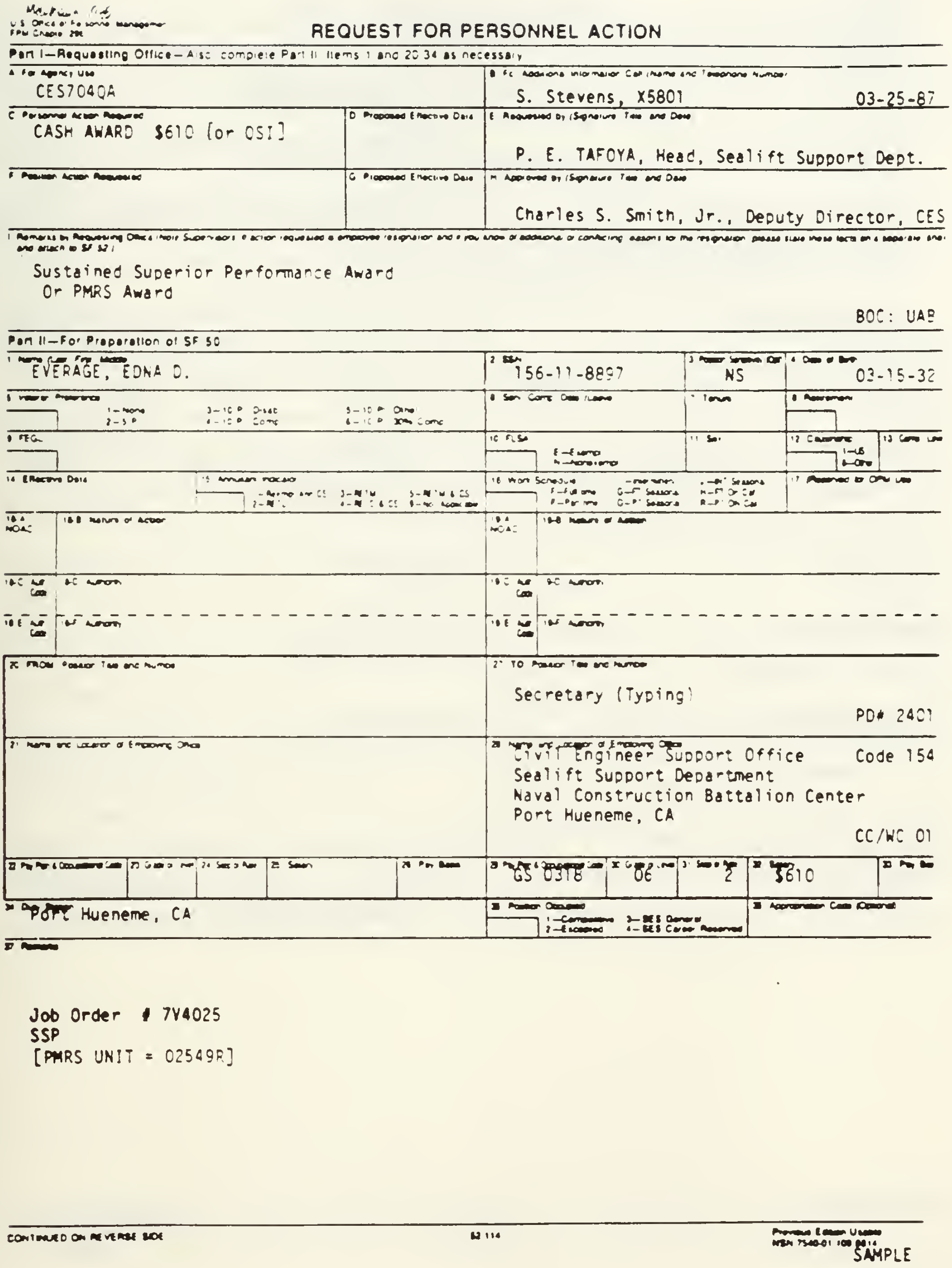
SF 52 SAMPLES

This section includes examples of SF 52s for the following types of personnel/position actions. Although the list does not cover all possible types of actions, it includes all the major kinds of actions that are processed.

SAMPLE #	TYPE OF ACTION	PAGE
1	AWARD (SSP) [This format may be used for other incentive awards eg OSI or PMRS Award. The format for these is noted in []	21
2	CANCEL POSITION	22
3	DETAIL TO ESTABLISHED POSITION (AT SAME GRADE)	23
4	DETAIL TO UNCLASSIFIED DUTIES	24
5	DETAIL EXTENSION	25
6	DETAIL TERMINATION	26
7	LEAVE WITHOUT PAY (LWOP)	27
8	LWOP EXTENSION	28
9	RETURN TO DUTY	29
10	PROMOTION (ACCRETION OF DUTIES)	30
11	PROMOTION (CAREER LADDER)	31
12	PROMOTION (TEMPORARY)	32
13	PROMOTION OF STUDENT AID	33
14	PROMOTION (EXTENSION OF TEMPORARY PROMOTION	34
15	CHANGE TO LOWER GRADE (FROM TEMPORARY PROMOTION)	35
16	REASSIGNMENT	36
17	RECRUIT (PERMANENT)/ESTABLISH NEW POSITION	37
18	RECRUIT (PERMANENT)/ESTABLISH IDENTICAL ADDITIONAL	38
19	RECRUIT (PERMANENT)/ESTABLISHED POSITION	39
20	RECRUIT (TEMPORARY)	40
21	RECRUIT (UPWARD MOBILITY)	41
22	SENSITIVITY CHANGE	42
23	RESIGNATION	43
24	SUSPENSION	45
25	TEMPORARY APPOINTMENT (EXTENSION)	46
26	SF 52 CANCELLATION	47

These SF 52s are samples only and are not copies of actual SF 52s forwarded to CPO for action. Some department staff and department names, Codes, Cost Center/Work Center included are fictitious and some are real. Likewise, the dates and timeframes are not accurate, they just serve to illustrate where dates should be included on the SF 52.

Since most of the SF 52 samples included in this section require completion of only the first side of the form, the following samples have been printed back-to-back with the exception of "RESIGNATION". For a sample of the second side of the SF 52 form, please see Page 44.



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: CES704QA

B For Additional Information Call (Name and Telephone Number): S. Stevens, X5801 — 03-25-87

C Personnel Action Requested: CASH AWARD $610 [or QSI]

D Proposed Effective Date:

E Requested by (Signature, Title, and Date): P. E. TAFOYA, Head, Sealift Support Dept.

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title, and Date): Charles S. Smith, Jr., Deputy Director, CES

I Remarks by Requesting Office (Note to Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Sustained Superior Performance Award
Or PMRS Award

BOC: UAB

Part II—For Preparation of SF 50

1 Name (Last, First, Middle) EVERAGE, EDNA D.	2 SSN 156-11-8897	3 Position Sensitivity Cat. NS	4 Date of Birth 03-15-32

5 Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp
6 Serv. Comp. Date (Leave):
7 Tenure:
8 Retirement:
9 FEGLI:
10 FLSA: E—Exempt N—Nonexempt
11 Sex:
12 Citizenship: 1—US 8—Other
13 Comp. Law:
14 Effective Date:
15 Annuitant Indicator: 1—Reemp Ann CS 2—RET U 3—RET M 4—RET U & CS 5—RET M & CS 9—Not Applicable
16 Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—INT Seasonal H—FT On Call R—PT On Call
17 (Reserved for OPM Use)
18-A NOAC: 18-B Nature of Action:
18-C Auth Code: 18-D Authority:
18-E Auth Code: 18-F Authority:
19-A NOAC: 19-B Nature of Action:
19-C Auth Code: 19-D Authority:
19-E Auth Code: 19-F Authority:

20 FROM: Position Title and Number:

21 TO: Position Title and Number:
Secretary (Typing)
PD# 2401

21 Name and Location of Employing Office:

28 Name and Location of Employing Office:
Civil Engineer Support Office — Code 154
Sealift Support Department
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 01

22 Pay Plan & Occupational Code	23 Grade or Level	24 Step or Rate	25 Salary	26 Pay Basis	29 Pay Plan & Occupational Code	30 Grade or Level	31 Step or Rate	32 Salary	33 Pay Basis
					GS 0318	06	2	$610	

34 Duty Station: Port Hueneme, CA

35 Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

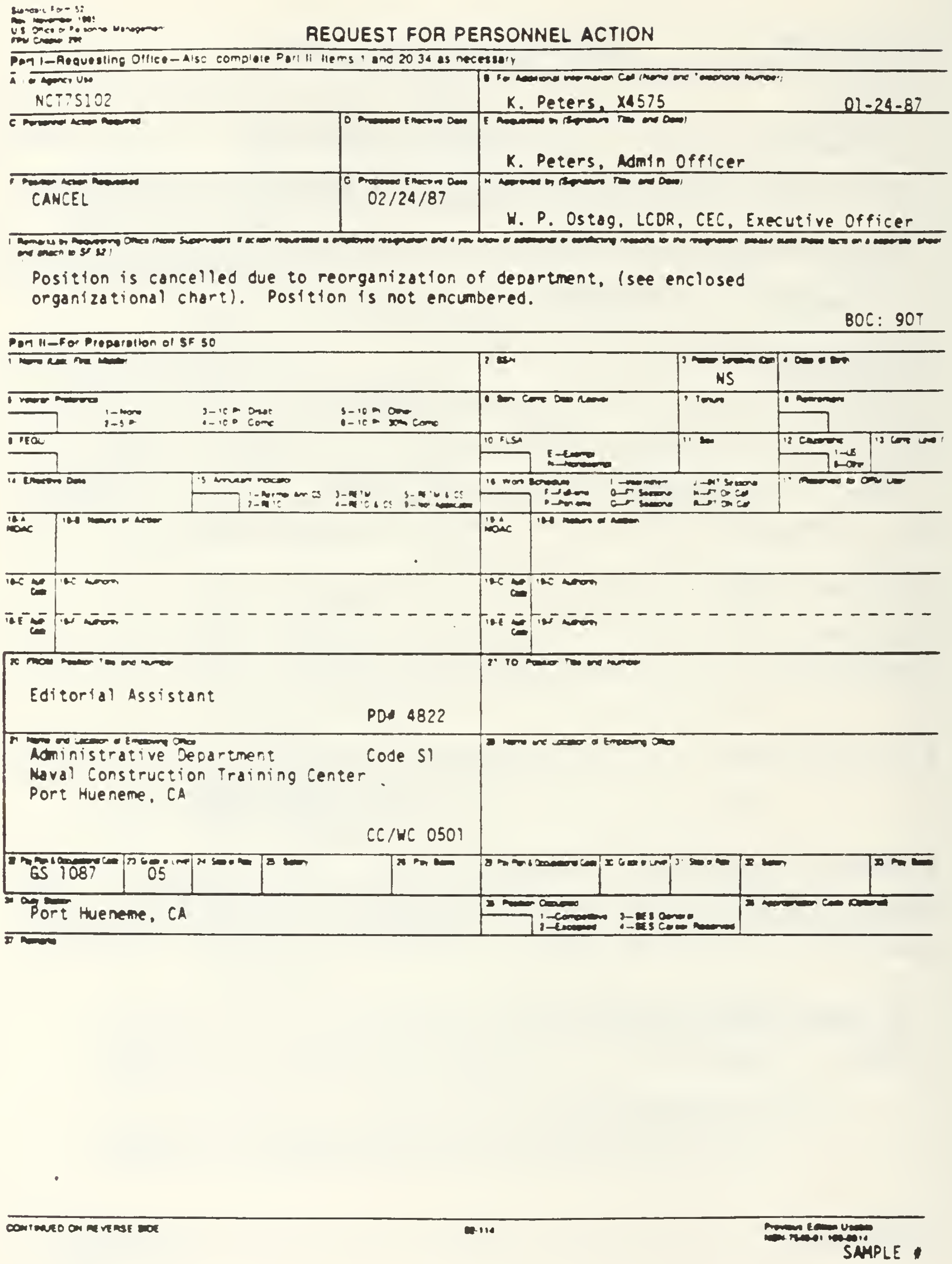
36 Appropriation Code (Optional):

37 Remarks

Job Order # 7V4025
SSP
[PMRS UNIT = 02549R]

CONTINUED ON REVERSE SIDE — 52-114 — Previous Edition Usable NSN 7540-01-109-8614

SAMPLE



Standard Form 52
Rev. November 1983
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use
NCT7S102

B. For Additional Information Call (Name and Telephone Number)
K. Peters, X4575 01-24-87

C. Personnel Action Requested

D. Proposed Effective Date

E. Requested by (Signature, Title, and Date)
K. Peters, Admin Officer

F. Position Action Requested
CANCEL

G. Proposed Effective Date
02/24/87

H. Approved by (Signature, Title, and Date)
W. P. Ostag, LCDR, CEC, Executive Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Position is cancelled due to reorganization of department, (see enclosed organizational chart). Position is not encumbered.

BOC: 90T

Part II—For Preparation of SF 50

1. Name (Last, First, Middle)
2. SSN
3. Position Sensitivity Code
NS
4. Date of Birth
5. Veteran Preference: 1—None; 2—5 Pt.; 3—10 Pt. Disab.; 4—10 Pt. Comp.; 5—10 Pt. Other; 6—10 Pt. 30% Comp.
6. Serv. Comp. Date (Leave)
7. Tenure
8. Retirement
9. FEGLI
10. FLSA: E—Exempt; N—Nonexempt
11. Sex
12. Citizenship: 1—US; 8—Other
13. Comp. Level
14. Effective Date
15. Annuitant Indicator: 1—Reemp. Ann. CS; 2—RET C; 3—RET M; 4—RET C & CS; 5—RET M & CS; 9—Not Applicable
16. Work Schedule: F—Full-time; P—Part-time; I—Intermittent; G—FT Seasonal; Q—PT Seasonal; J—INT Seasonal; H—FT On Call; R—PT On Call
17. (Reserved for OPM Use)

18-A NOAC	18-B Nature of Action	19-A NOAC	19-B Nature of Action
18-C Auth. Code	18-D Authority	19-C Auth. Code	19-D Authority
18-E Auth. Code	18-F Authority	19-E Auth. Code	19-F Authority

20. FROM: Position Title and Number
Editorial Assistant
PD# 4822

21. TO: Position Title and Number

21. Name and Location of Employing Office
Administrative Department Code S1
Naval Construction Training Center
Port Hueneme, CA
CC/WC 0501

28. Name and Location of Employing Office

22. Pay Plan & Occupational Code	23. Grade or Level	24. Step or Rate	25. Salary	26. Pay Basis	27. Pay Plan & Occupational Code	30. Grade or Level	31. Step or Rate	32. Salary	33. Pay Basis
GS 1087	05								

34. Duty Station
Port Hueneme, CA

35. Position Occupied: 1—Competitive; 2—Excepted; 3—SES General; 4—SES Career Reserved

36. Appropriation Code (Optional)

37. Remarks

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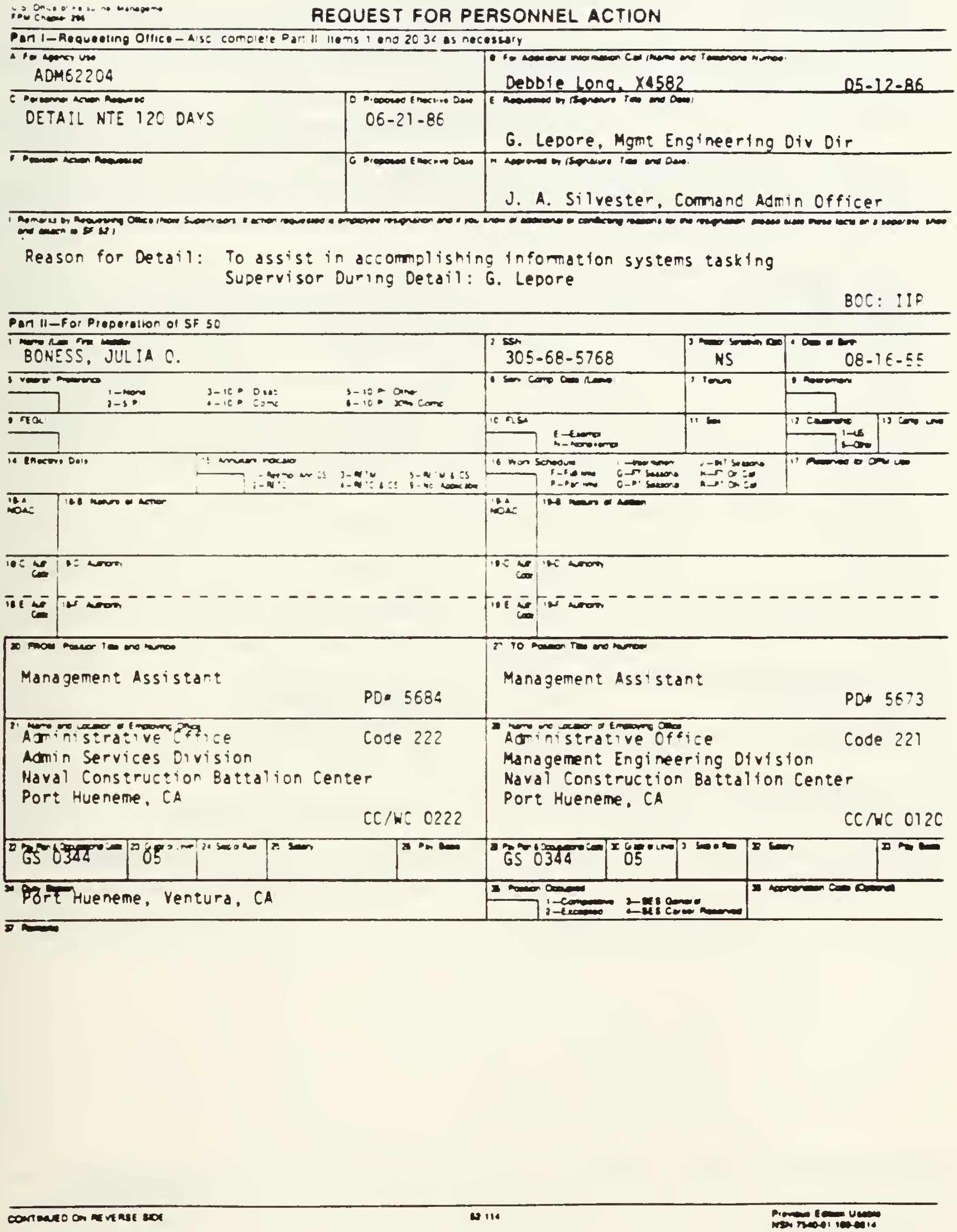
SAMPLE #



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: ADM62204

B. For Additional Information Call (Name and Telephone Number): Debbie Long, X4582 05-12-86

C. Personnel Action Requested: DETAIL NTE 120 DAYS

D. Proposed Effective Date: 06-21-86

E. Requested by (Signature, Title, and Date): G. Lepore, Mgmt Engineering Div Dir

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title, and Date): J. A. Silvester, Command Admin Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Reason for Detail: To assist in accommplishing information systems tasking
Supervisor During Detail: G. Lepore

BOC: IIP

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): BONESS, JULIA O.
2. SSN: 305-68-5768
3. Position Sensitivity Code: NS
4. Date of Birth: 08-16-55
5. Veteran Preference: 1—None 2—5 Pt 3—10 Pt Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt 30% Comp
6. Serv Comp Date (Leave)
7. Tenure
8. Retirement
9. FEGLI
10. FLSA E—Exempt N—Nonexempt
11. Sex
12. Citizenship 1—US 8—Other
13. Comp Level
14. Effective Date
15. Annuitant Indicator 1—Reemp Ann CS 2—RETC 3—RETM 4—RETC & CS 5—RETM & CS 9—Not Applicable
16. Work Schedule F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—INT Seasonal H—FT On Call R—PT On Call
17. (Reserved for OPM Use)

18-A. NOAC 18-B. Nature of Action

18-C. Auth Code 18-D. Authority

18-E. Auth Code 18-F. Authority

19-A. NOAC 19-B. Nature of Action

19-C. Auth Code 19-D. Authority

19-E. Auth Code 19-F. Authority

20. FROM: Position Title and Number
Management Assistant
PD# 5684

21. TO: Position Title and Number
Management Assistant
PD# 5673

Name and Location of Employing Office:
Administrative Office Code 222
Admin Services Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 0222

Name and Location of Employing Office:
Administrative Office Code 221
Management Engineering Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 0120

22. Pay Plan & Occupation Code: GS 0344
23. Grade or Level: 05
24. Step or Rate:
25. Salary:
26. Pay Basis:

Pay Plan & Occupation Code: GS 0344
Grade or Level: 05
Step or Rate:
Salary:
Pay Basis:

34. Duty Station: Port Hueneme, Ventura, CA

35. Position Occupied 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36. Appropriation Code (Optional)

37. Remarks

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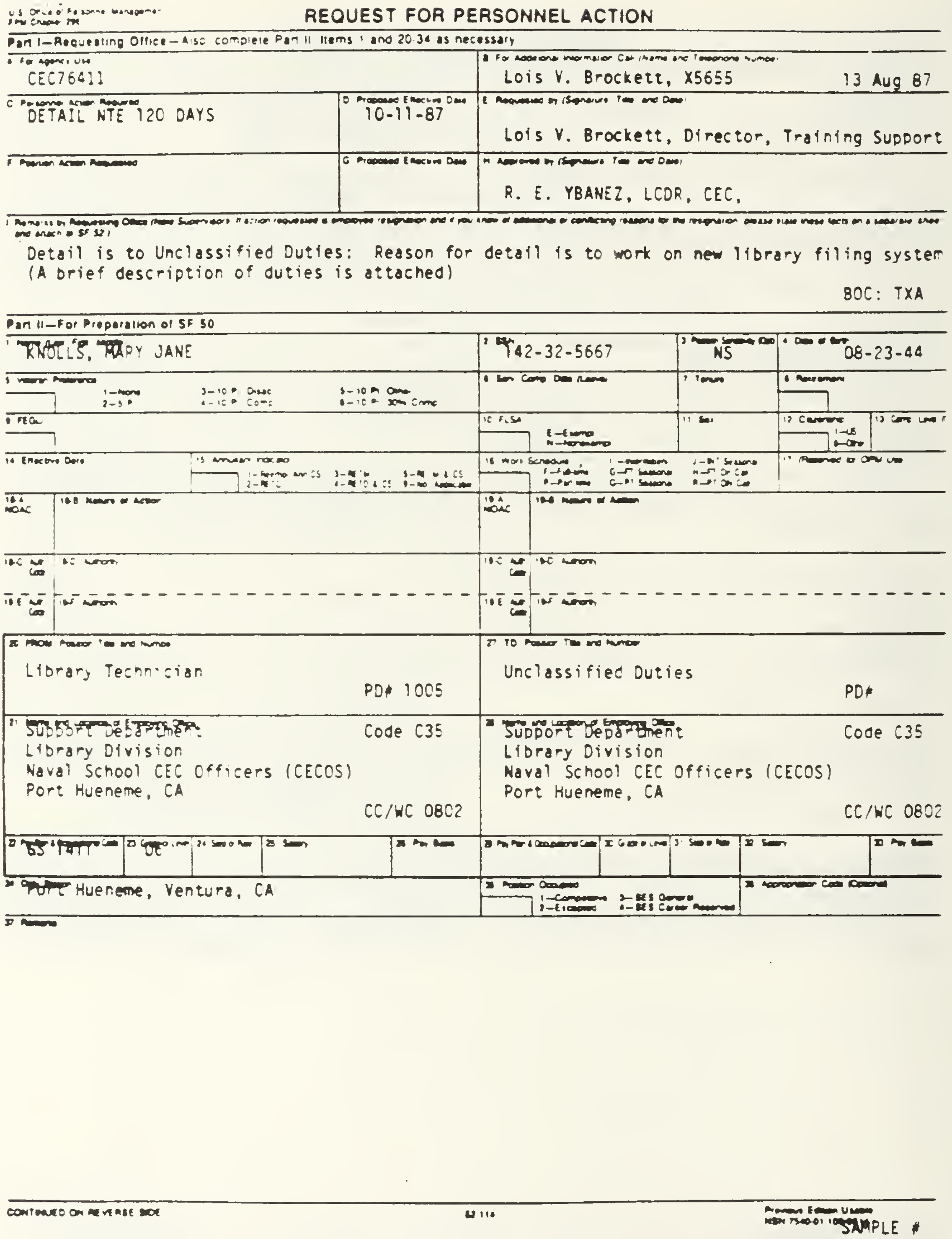
SAMPLE # ·



REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II Items 1 and 20-34 as necessary

A. For Agency Use: CEC76411

B. For Additional Information Call (Name and Telephone Number): Lois V. Brockett, X5655 13 Aug 87

C. Personnel Action Requested: DETAIL NTE 120 DAYS

D. Proposed Effective Date: 10-11-87

E. Requested by (Signature, Title, and Date): Lois V. Brockett, Director, Training Support

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title, and Date): R. E. YBANEZ, LCDR, CEC,

I. Remarks by Requesting Office:

Detail is to Unclassified Duties: Reason for detail is to work on new library filing system
(A brief description of duties is attached)

BOC: TXA

Part II—For Preparation of SF 50

1. Name: KNOLLS, MARY JANE
2. SSN: 142-32-5667
3. NS
4. Date of Birth: 08-23-44

20. FROM: Position Title and Number

Library Technician
PD# 1005

26. TO: Position Title and Number

Unclassified Duties
PD#

21. Name and Location of Employing Office

Support Department Code C35
Library Division
Naval School CEC Officers (CECOS)
Port Hueneme, CA
CC/WC 0802

28. Name and Location of Employing Office

Support Department Code C35
Library Division
Naval School CEC Officers (CECOS)
Port Hueneme, CA
CC/WC 0802

22. GS 1411

23. 06

34. Duty Station: Port Hueneme, Ventura, CA

37. Remarks

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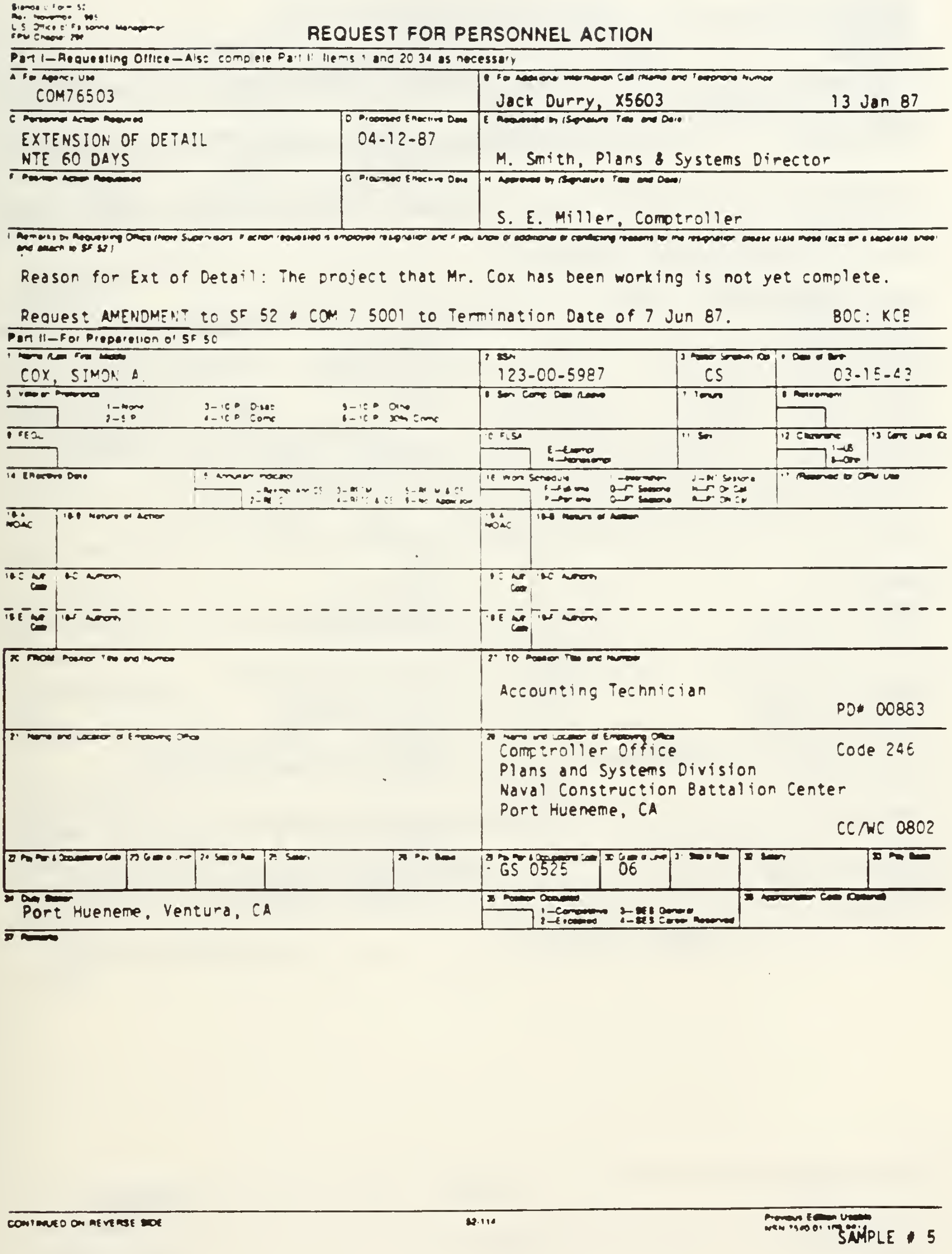
52-114

SAMPLE #



Standard Form 52
Rev. November 1985
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use COM76503		B. For Additional Information Call (Name and Telephone Number) Jack Durry, X5603 13 Jan 87
C. Personnel Action Requested EXTENSION OF DETAIL NTE 60 DAYS	D. Proposed Effective Date 04-12-87	E. Requested by (Signature, Title, and Date) M. Smith, Plans & Systems Director
F. Position Action Requested	G. Proposed Effective Date	H. Approved by (Signature, Title, and Date) S. E. Miller, Comptroller

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Reason for Ext of Detail: The project that Mr. Cox has been working is not yet complete.

Request AMENDMENT to SF 52 # COM 7 5001 to Termination Date of 7 Jun 87. BOC: KCB

Part II—For Preparation of SF 50

1. Name (Last, First, Middle) COX, SIMON A.	2. SSN 123-00-5987	3. Position Sensitivity Code CS	4. Date of Birth 03-15-43
5. Veterans Preference ☐ 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp	6. Serv. Comp. Date (Leave)	7. Tenure	8. Retirement ☐
9. FEGLI ☐	10. FLSA ☐ E—Exempt N—Nonexempt	11. Sex	12. Citizenship ☐ 1—US 8—Other
13. Comp. Level Code			
14. Effective Date	15. Annuitant Indicator ☐ 1—Reemp Ann CS 2—Ret UC 3—Ret M 4—Ret UC & CS 5—Ret M & CS 9—Not Applicable	16. Work Schedule ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call	17. (Reserved for OPM Use)

18-A NOAC	18-B Nature of Action	19-A NOAC	19-B Nature of Action
18-C Auth Code	18-D Authority	19-C Auth Code	19-D Authority
18-E Auth Code	18-F Authority	19-E Auth Code	19-F Authority

20. FROM: Position Title and Number	21. TO: Position Title and Number Accounting Technician PD# 00883
27. Name and Location of Employing Office	28. Name and Location of Employing Office Comptroller Office Code 246 Plans and Systems Division Naval Construction Battalion Center Port Hueneme, CA CC/WC 0802

22. Pay Plan & Occupational Code	23. Grade or Level	24. Step or Rate	25. Salary	26. Pay Basis	29. Pay Plan & Occupational Code GS 0525	30. Grade or Level 06	31. Step or Rate	32. Salary	33. Pay Basis

34. Duty Station Port Hueneme, Ventura, CA	35. Position Occupied ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved	36. Appropriation Code (Optional)

37. Remarks

CONTINUED ON REVERSE SIDE 52-114 Previous Edition Usable
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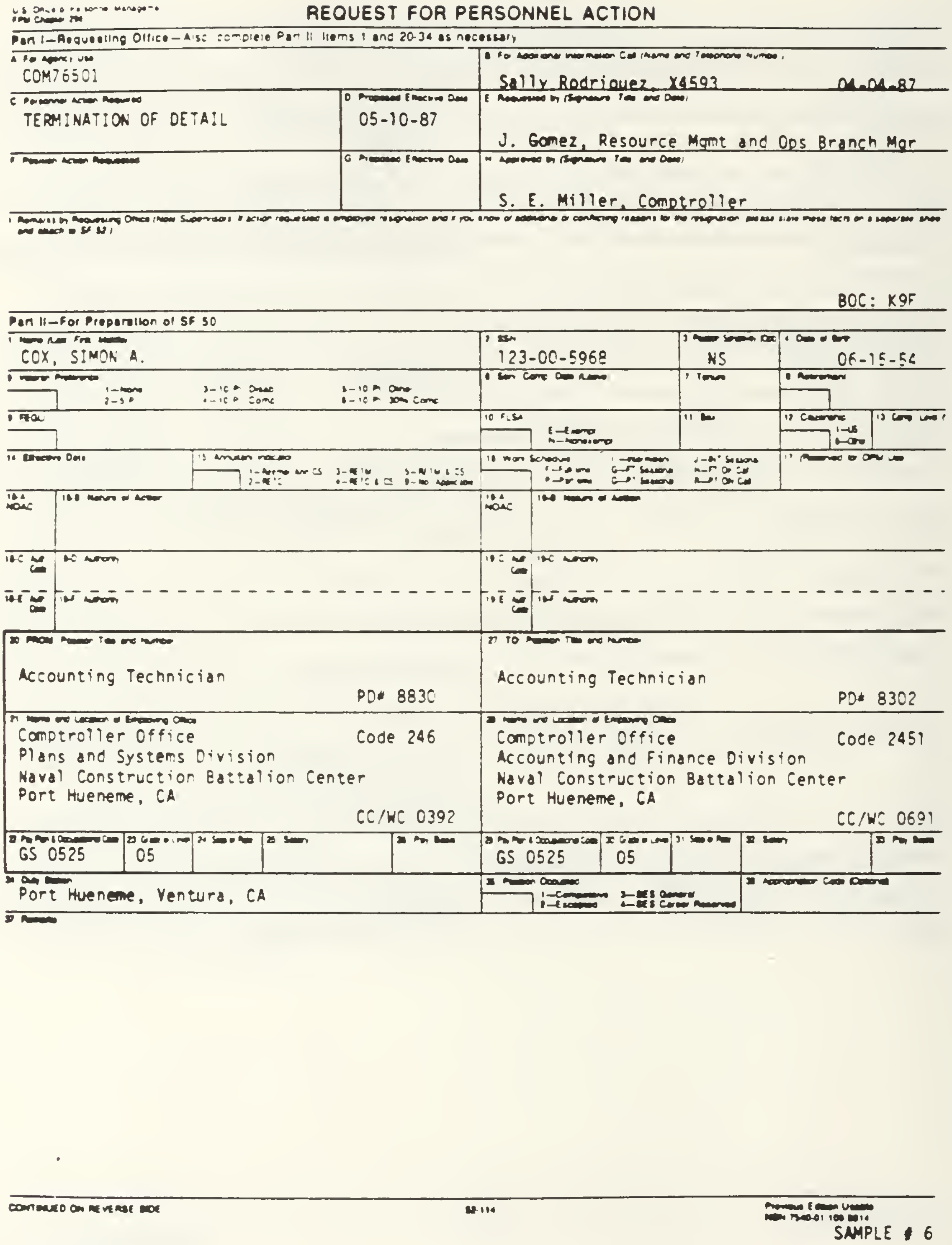
SAMPLE # 5



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: COM76501

B For Additional Information Call (Name and Telephone Number): Sally Rodriguez, X4593 04-04-87

C Personnel Action Requested: TERMINATION OF DETAIL

D Proposed Effective Date: 05-10-87

E Requested by (Signature, Title and Date): J. Gomez, Resource Mgmt and Ops Branch Mgr

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title and Date): S. E. Miller, Comptroller

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

BOC: K9F

Part II—For Preparation of SF 50

1 Name (Last, First, Middle): COX, SIMON A.

2 SSN: 123-00-5968

3 Position Sensitivity Code: NS

4 Date of Birth: 06-15-54

5 Veteran Preference: ☐ 1—None 2—5 Pt. 3—10 Pt. Disab. 4—10 Pt. Comp. 5—10 Pt. Other 6—10 Pt. 30% Comp.

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement: ☐

9 FEGLI: ☐

10 FLSA: ☐ E—Exempt N—Nonexempt

11 Bar:

12 Citizenship: ☐ 1—US 8—Other

13 Comp. Level

14 Effective Date:

15 Annuitant Indicator: ☐ 1—Reemp. Ann. CS 2—RETC 3—RET M 4—RET C & CS 5—RET M & CS 9—Not Applicable

16 Work Schedule: ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int. Seasonal H—FT On Call R—PT On Call

17 (Reserved for OPM Use)

18-A NOAC

18-B Nature of Action

18-C Auth. Code

18-D Authority

18-E Auth. Code

18-F Authority

19-A NOAC

19-B Nature of Action

19-C Auth. Code

19-D Authority

19-E Auth. Code

19-F Authority

20 FROM: Position Title and Number:
Accounting Technician
PD# 8830

27 TO: Position Title and Number:
Accounting Technician
PD# 8302

21 Name and Location of Employing Office:
Comptroller Office Code 246
Plans and Systems Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 0392

28 Name and Location of Employing Office:
Comptroller Office Code 2451
Accounting and Finance Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 0691

22 Pay Plan & Occupational Code	23 Grade or Level	24 Step or Rate	25 Salary	26 Pay Basis	29 Pay Plan & Occupational Code	30 Grade or Level	31 Step or Rate	32 Salary	33 Pay Basis
GS 0525	05				GS 0525	05			

34 Duty Station: Port Hueneme, Ventura, CA

35 Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36 Appropriation Code (Optional)

37 Remarks

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SAMPLE # 6

U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: CED79310

B. For Additional Information Call (Name and Telephone Number): Rita Loos, X4934 02-01-87

C. Personnel Action Requested: LEAVE WITHOUT PAY (LWOP) NTE 90 DAYS

D. Proposed Effective Date: 03-15-87

E. Requested by (Signature, Title, and Date):

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title, and Date): J. D. Draper, LCDR, USN, CED Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

LWOP from 15 Mar 87 through 15 Jun 87 approved due to PCS move of spouse.

BOC: FOB

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): JONES, Patrick W.
2. SSN: 566-34-2221
3. Position Sensitivity Code: CS
4. Date of Birth: 11-26-45
5. Veteran Preference: ☐ 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement: ☐
9. FEGLI: ☐
10. FLSA: ☐ E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: ☐ 1—US 8—Other
13. Comp. Level
14. Effective Date:
15. Annuitant Indicator: ☐ 1—Reemp. Ann CS 2—Re... 3—RE M 4—RE C & CS 5—RE M & CS 9—Not Applicable
16. Work Schedule: ☐ F—Full time P—Part time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal K—FT On Call L—PT On Call
17. Reserved for OPM Use:

18-A NOAC: 18-B Nature of Action: | 19-A NOAC: 19-B Nature of Action:

18-C Auth Code: 18-D Authority: | 19-C Auth Code: 19-D Authority:

18-E Auth Code: 18-F Authority: | 19-E Auth Code: 19-F Authority:

20. FROM: Position Title and Number: Secretary (Steno) PD# 8094

27. TO: Position Title and Number:

21. Name and Location of Employing Office:

Construction Equipment Dept Code 93
Shops Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 9503

28. Name and Location of Employing Office:

22 Pay Plan & Occupational Code	23 Grade or Level	24 Step or Rate	25 Salary	26 Pay Basis	29 Pay Plan & Occupational Code	30 Grade or Level	31 Step or Rate	32 Salary	33 Pay Basis
GS 0318	05								

34. Duty Station: Port Hueneme, Ventura, CA
35. Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved
36. Appropriation Code (Optional):
37. Remarks

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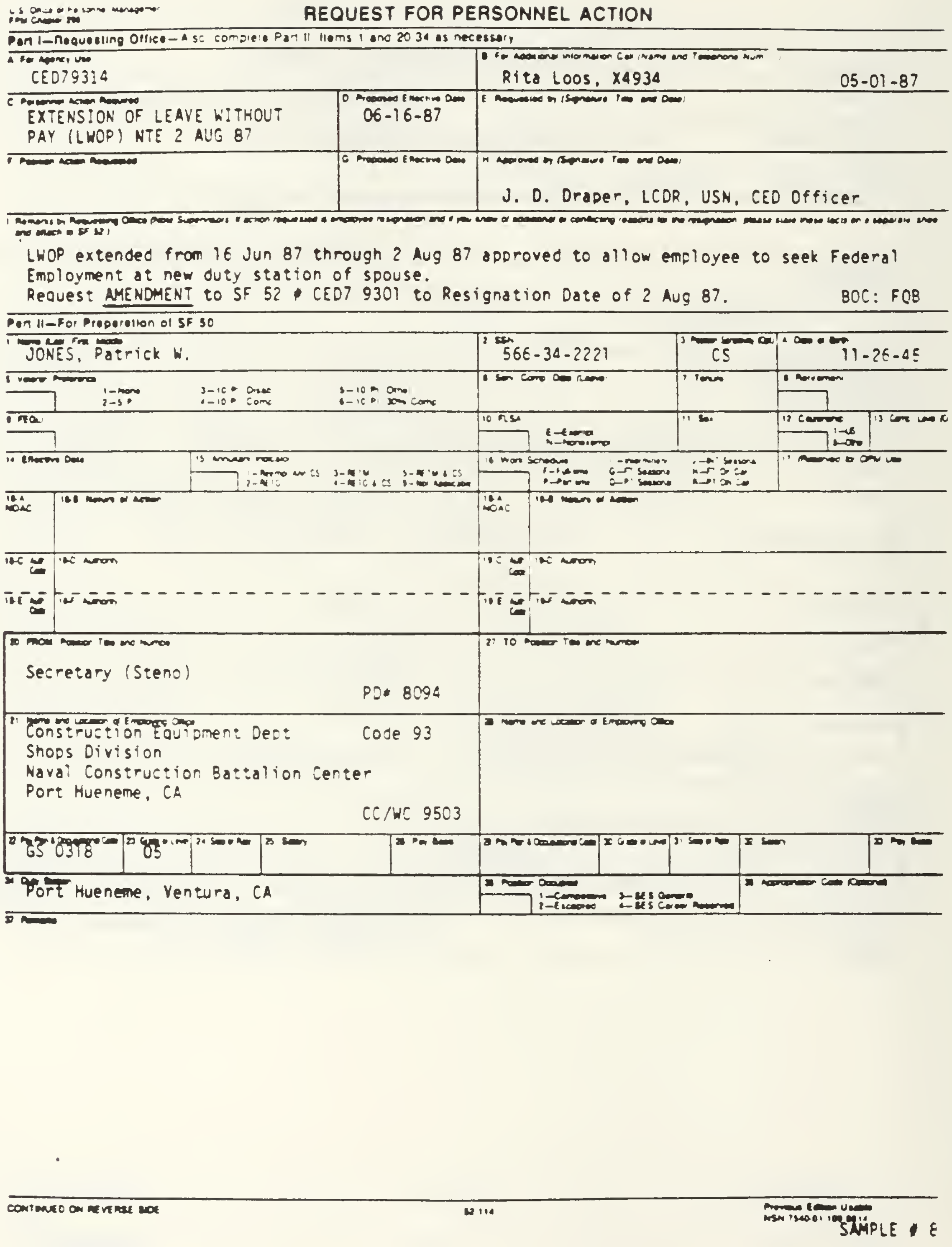
SAMPLE # 7



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use CED79314		B. For Additional Information Call (Name and Telephone Number) Rita Loos, X4934 05-01-87
C. Personnel Action Requested EXTENSION OF LEAVE WITHOUT PAY (LWOP) NTE 2 AUG 87	D. Proposed Effective Date 06-16-87	E. Requested by (Signature, Title, and Date)
F. Position Action Requested	G. Proposed Effective Date	H. Approved by (Signature, Title, and Date) J. D. Draper, LCDR, USN, CED Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

LWOP extended from 16 Jun 87 through 2 Aug 87 approved to allow employee to seek Federal Employment at new duty station of spouse.
Request AMENDMENT to SF 52 # CED7 9301 to Resignation Date of 2 Aug 87. BOC: FQB

Part II—For Preparation of SF 50

1. Name (Last, First, Middle) JONES, Patrick W.	2. SSN 566-34-2221	3. Position Sensitivity Code CS	4. Date of Birth 11-26-45
5. Veterans Preference ☐ 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 Pt Other 6—10 Pt 30% Comp	6. Serv. Comp. Date (Leave)	7. Tenure	8. Retirement ☐
9. FEGLI ☐	10. FLSA ☐ E—Exempt N—Nonexempt	11. Sex	12. Citizenship ☐ 1—US 8—Other 13. Comp. Level
14. Effective Date 15. Annuitant Indicator ☐ 1—Reemp Ann CS 2—RETC 3—RETM 4—RETC & CS 5—RETM & CS 9—Not Applicable	16. Work Schedule ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal K—FT On Call R—PT On Call		17. Reserved for OPM Use

18-A NOAC	18-B Nature of Action	19-A NOAC	19-B Nature of Action
18-C Auth Code	18-D Authority	19-C Auth Code	19-D Authority
18-E Auth Code	18-F Authority	19-E Auth Code	19-F Authority

20. FROM: Position Title and Number Secretary (Steno) PD# 8094	27. TO: Position Title and Number
21. Name and Location of Employing Office Construction Equipment Dept Code 93 Shops Division Naval Construction Battalion Center Port Hueneme, CA CC/WC 9503	28. Name and Location of Employing Office

22. Pay Plan & Occupational Code	23. Grade or Level	24. Step or Rate	25. Salary	26. Pay Basis	29. Pay Plan & Occupational Code	30. Grade or Level	31. Step or Rate	32. Salary	33. Pay Basis
GS 0318	05								

34. Duty Station Port Hueneme, Ventura, CA	35. Position Occupied ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved	36. Appropriation Code (Optional)

37. Remarks

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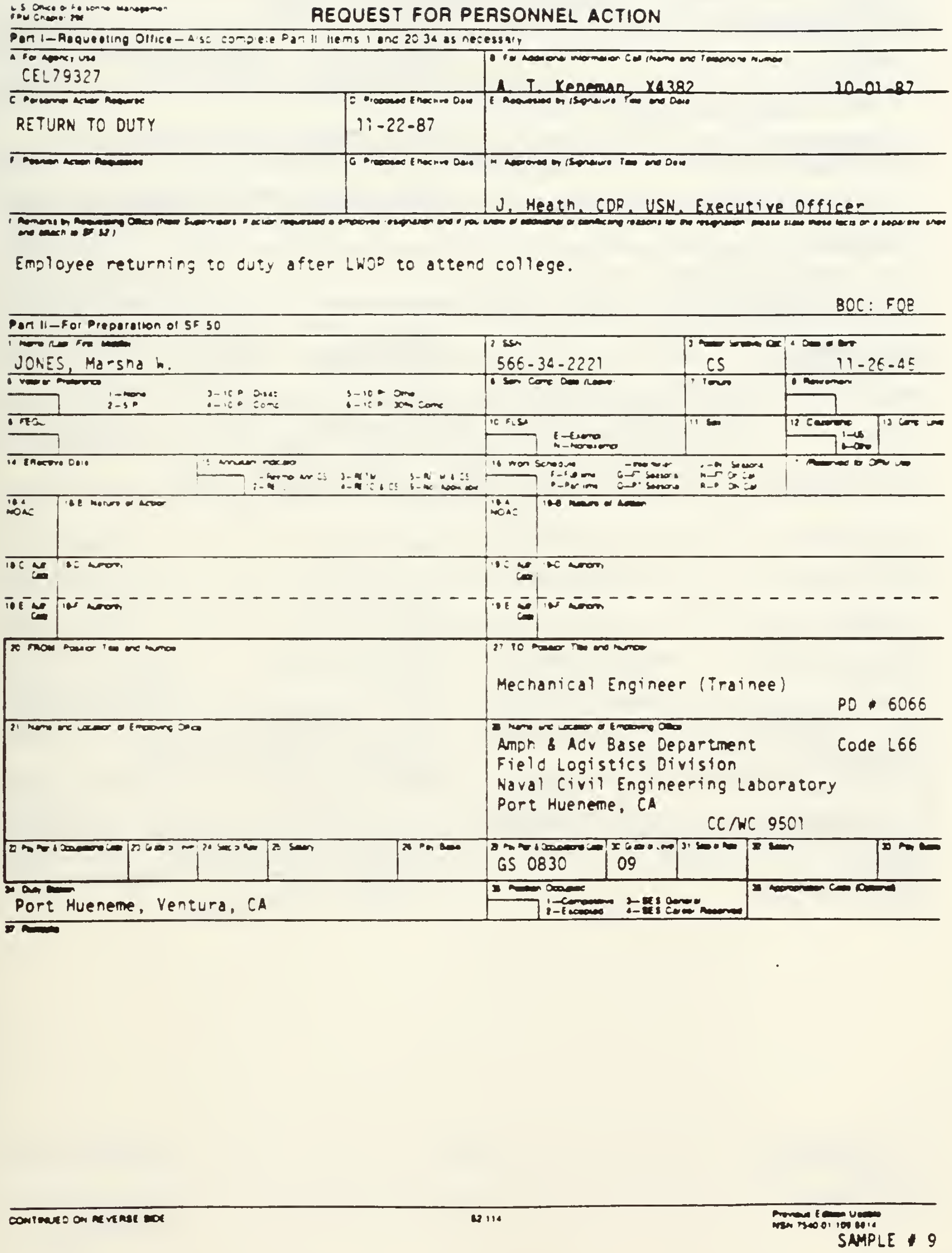
SAMPLE # 8



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: CEL79327

B For Additional Information Call (Name and Telephone Number): A. T. Keneman, X4382 10-01-87

C Personnel Action Requested: RETURN TO DUTY

D Proposed Effective Date: 11-22-87

E Requested by (Signature, Title, and Date):

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title, and Date): J. Heath, CDR, USN, Executive Officer

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Employee returning to duty after LWOP to attend college.

BOC: FQB

Part II—For Preparation of SF 50

1 Name (Last, First, Middle): JONES, Marsha W.

2 SSN: 566-34-2221

3 Position Sensitivity Code: CS

4 Date of Birth: 11-26-45

5 Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement:

9 FEGLI:

10 FLSA: E—Exempt N—Nonexempt

11 Sex:

12 Citizenship: 1—US 8—Other

13 Comp. Level:

14 Effective Date:

15 Annuitant Indicator: 1—Reemp. Ann. CS 2—Ret. 3—Ret. M 4—Ret. C & CS 5—Ret. M & CS 9—Not Applicable

16 Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int. Seasonal H—FT On Call R—PT On Call

17 Reserved for OPM Use

18-A NOAC

18-B Nature of Action

18-C Auth. Code

18-D Authority

18-E Auth. Code

18-F Authority

19-A NOAC

19-B Nature of Action

19-C Auth. Code

19-D Authority

19-E Auth. Code

19-F Authority

20 FROM: Position Title and Number

27 TO: Position Title and Number
Mechanical Engineer (Trainee)
PD # 6066

21 Name and Location of Employing Office

28 Name and Location of Employing Office
Amph & Adv Base Department Code L66
Field Logistics Division
Naval Civil Engineering Laboratory
Port Hueneme, CA
CC/WC 9501

22 Pay Plan & Occupational Code

23 Grade or Level

24 Step or Rate

25 Salary

26 Pay Basis

29 Pay Plan & Occupational Code: GS 0830

30 Grade or Level: 09

31 Step or Rate

32 Salary

33 Pay Basis

34 Duty Station: Port Hueneme, Ventura, CA

35 Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36 Appropriation Code (Optional)

37 Remarks

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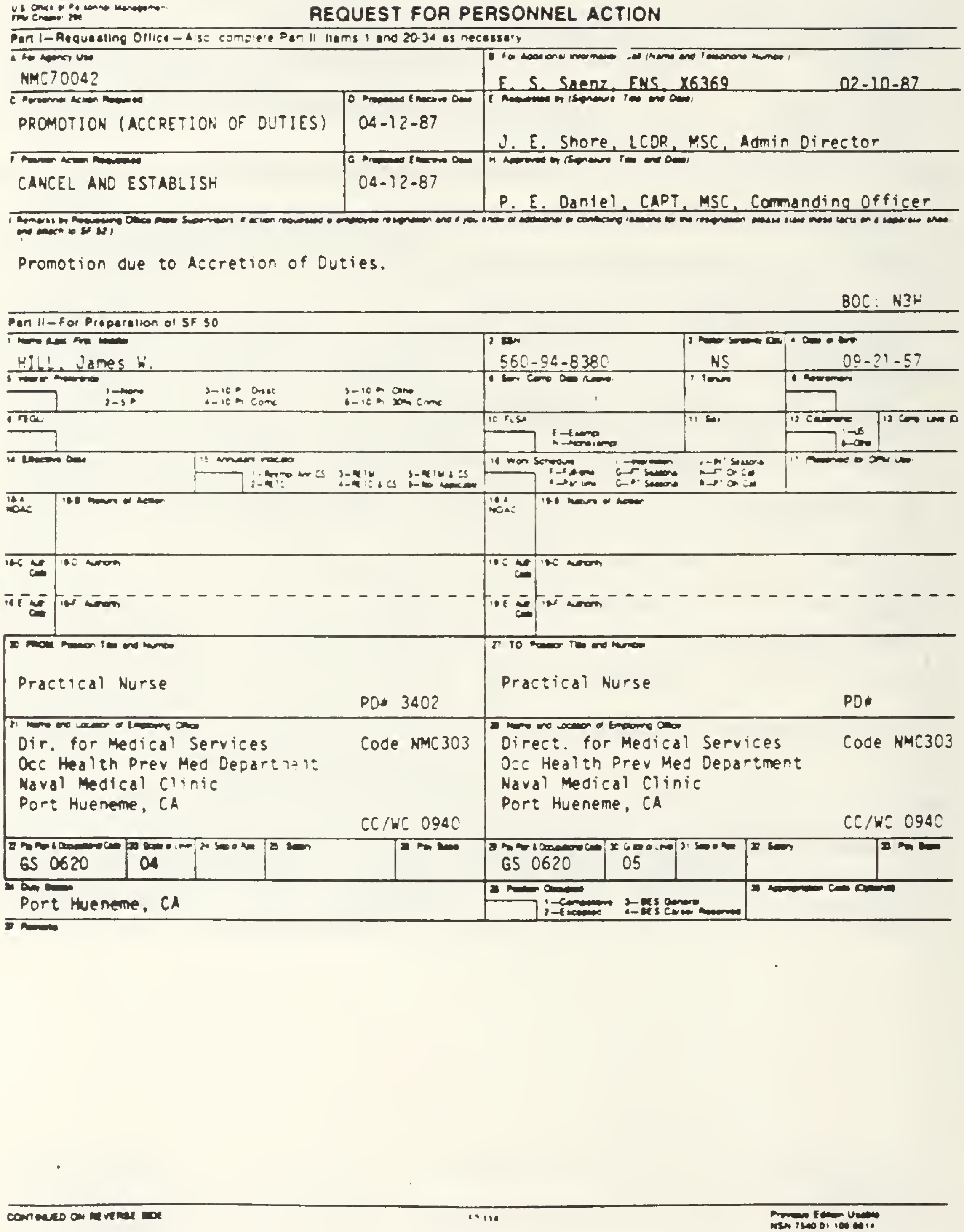
SAMPLE # 9



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: NMC70042

B. For Additional Information Call (Name and Telephone Number): E. S. Saenz, ENS, X6369 02-10-87

C. Personnel Action Requested: PROMOTION (ACCRETION OF DUTIES)

D. Proposed Effective Date: 04-12-87

E. Requested by (Signature, Title and Date): J. E. Shore, LCDR, MSC, Admin Director

F. Position Action Requested: CANCEL AND ESTABLISH

G. Proposed Effective Date: 04-12-87

H. Approved by (Signature, Title and Date): P. E. Daniel, CAPT, MSC, Commanding Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Promotion due to Accretion of Duties.

BOC: N3H

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): HILL, James W.

2. SSN: 560-94-8380

3. Position Sensitivity Code: NS

4. Date of Birth: 09-21-57

5. Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt 30% Comp

6. Serv Comp Date (Leave):

7. Tenure:

8. Retirement:

9. FEGLI:

10. FLSA: E—Exempt N—Nonexempt

11. Sex:

12. Citizenship: 1—US 8—Other

13. Comp Level ID:

14. Effective Date:

15. Annuitant Indicator: 1—Reemp Ann CS 2—RETC 3—RETM 4—RETC & CS 5—RETM & CS 9—Not Applicable

16. Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—PT Seasonal H—FT On Call R—PT On Call

17. Reserved for OPM Use

18-A. NOAC 18-B. Nature of Action

18-C. Auth Code 18-D. Authority

18-E. Auth Code 18-F. Authority

19-A. NOAC 19-B. Nature of Action

19-C. Auth Code 19-D. Authority

19-E. Auth Code 19-F. Authority

20. FROM: Position Title and Number: Practical Nurse PD# 3402

27. TO: Position Title and Number: Practical Nurse PD#

21. Name and Location of Employing Office:
Dir. for Medical Services Code NMC303
Occ Health Prev Med Department
Naval Medical Clinic
Port Hueneme, CA
CC/WC 0940

28. Name and Location of Employing Office:
Direct. for Medical Services Code NMC303
Occ Health Prev Med Department
Naval Medical Clinic
Port Hueneme, CA
CC/WC 0940

22. Pay Plan & Occupational Code	23. Grade or Level	24. Step or Rate	25. Salary	26. Pay Basis
GS 0620	04			

29. Pay Plan & Occupational Code	30. Grade or Level	31. Step or Rate	32. Salary	33. Pay Basis
GS 0620	05			

34. Duty Station: Port Hueneme, CA

35. Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36. Appropriation Code (Optional)

37. Remarks

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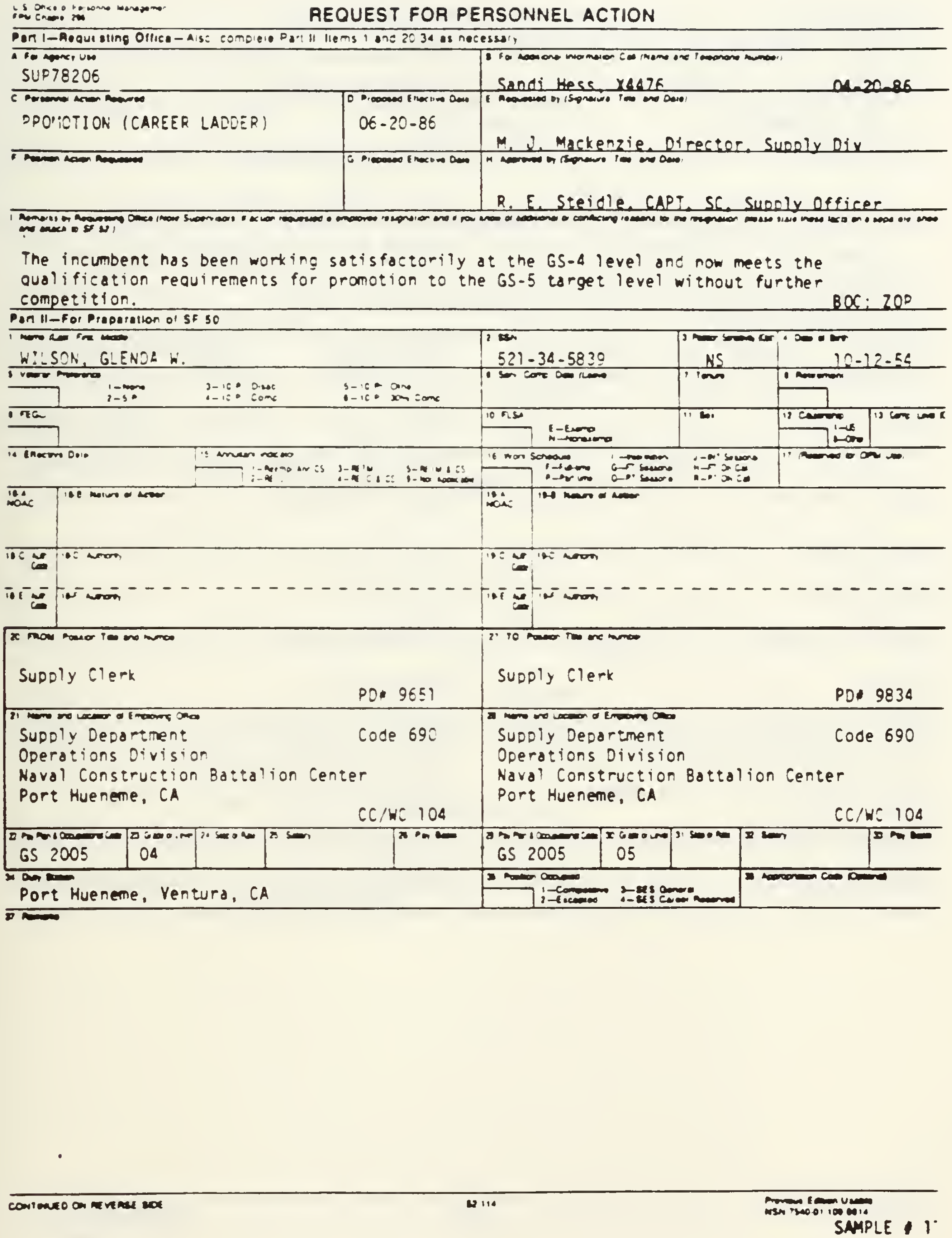
SAMPLE # 1



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: SUP78206

B For Additional Information Call (Name and Telephone Number): Sandi Hess, X4476 04-20-86

C Personnel Action Requested: PROMOTION (CAREER LADDER)

D Proposed Effective Date: 06-20-86

E Requested by (Signature, Title, and Date): M. J. Mackenzie, Director, Supply Div

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title, and Date): R. E. Steidle, CAPT, SC, Supply Officer

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

The incumbent has been working satisfactorily at the GS-4 level and now meets the qualification requirements for promotion to the GS-5 target level without further competition.

BOC: ZOP

Part II—For Preparation of SF 50

1 Name (Last, First, Middle): WILSON, GLENDA W.

2 SSN: 521-34-5839

3 Position Sensitivity Cat: NS

4 Date of Birth: 10-12-54

5 Veteran Preference: ☐ 1—None 2—5 Pt 3—10 Pt Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt 30% Comp

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement: ☐

9 FEGLI: ☐

10 FLSA: ☐ E—Exempt N—Nonexempt

11 Sex:

12 Citizenship: ☐ 1—US 8—Other

13 Comp. Level C

14 Effective Date:

15 Annuitant Indicator: ☐ 1—Reemp. Ann. CS 2—RET. 3—RET M 4—RET C & CS 5—RET M & CS 9—Not Applicable

16 Work Schedule: ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call

17 (Reserved for OPM Use)

18-A NOAC:

18-B Nature of Action:

19-A NOAC:

19-B Nature of Action:

18-C Auth Code:

18-D Authority:

19-C Auth Code:

19-D Authority:

18-E Auth Code:

18-F Authority:

19-E Auth Code:

19-F Authority:

20 FROM Position Title and Number: Supply Clerk PD# 9651

27 TO Position Title and Number: Supply Clerk PD# 9834

21 Name and Location of Employing Office:
Supply Department Code 690
Operations Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 104

28 Name and Location of Employing Office:
Supply Department Code 690
Operations Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 104

22 Pay Plan & Occupational Code	23 Grade or Level	24 Step or Rate	25 Salary	26 Pay Basis	29 Pay Plan & Occupational Code	30 Grade or Level	31 Step or Rate	32 Salary	33 Pay Basis
GS 2005	04				GS 2005	05			

34 Duty Station: Port Hueneme, Ventura, CA

35 Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36 Appropriation Code (Optional):

37 Remarks:

CONTINUED ON REVERSE SIDE

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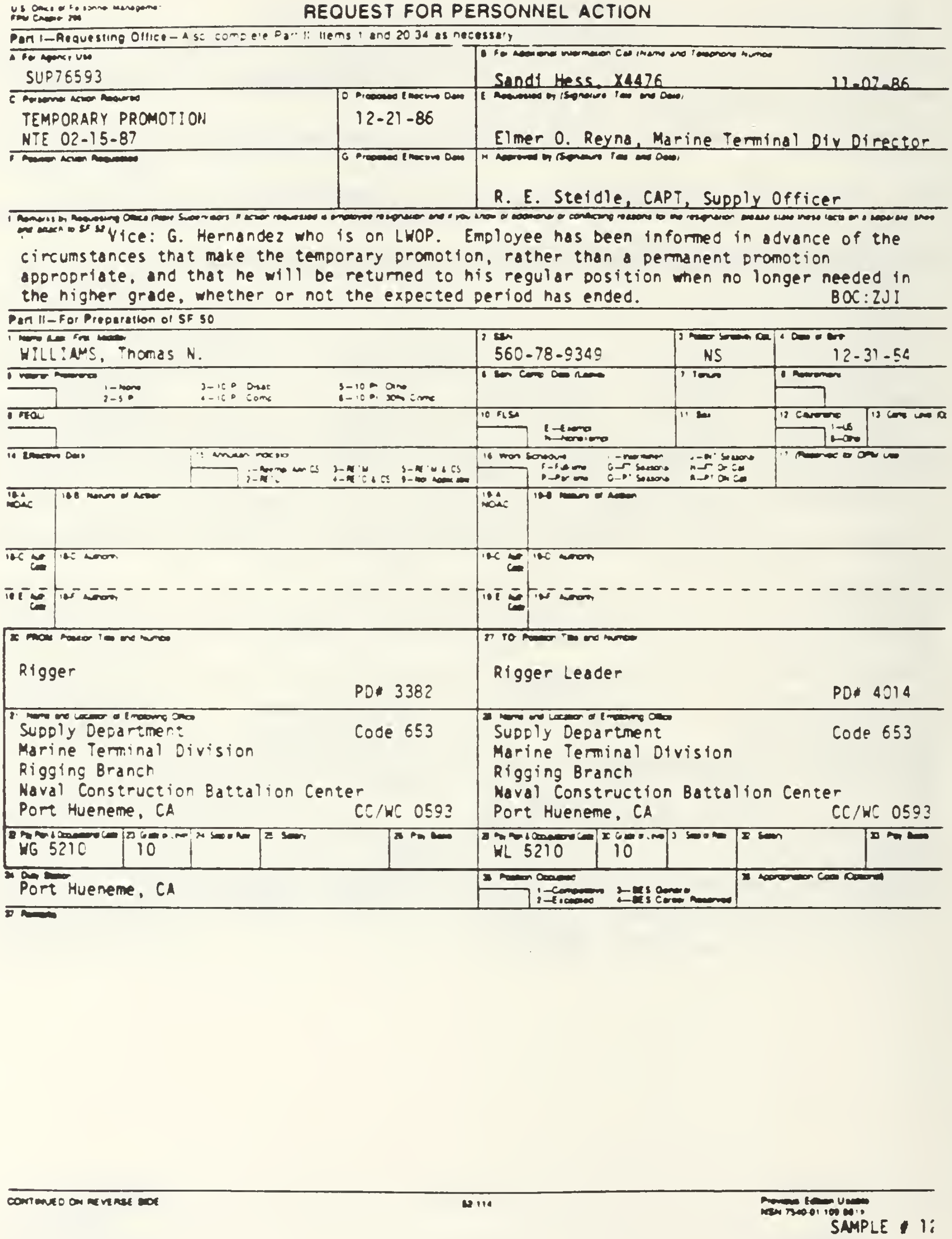
Previous Edition Usable
NSN 7540-01-109-8814

SAMPLE # 1



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II: Items 1 and 20-34 as necessary

A. For Agency Use: SUP76593

B. For Additional Information Call (Name and Telephone Number): Sandi Hess, X4476 11-07-86

C. Personnel Action Requested: TEMPORARY PROMOTION NTE 02-15-87

D. Proposed Effective Date: 12-21-86

E. Requested by (Signature, Title, and Date): Elmer O. Reyna, Marine Terminal Div Director

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title, and Date): R. E. Steidle, CAPT, Supply Officer

I. Remarks by Requesting Office: Vice: G. Hernandez who is on LWOP. Employee has been informed in advance of the circumstances that make the temporary promotion, rather than a permanent promotion appropriate, and that he will be returned to his regular position when no longer needed in the higher grade, whether or not the expected period has ended. BOC:ZJI

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): WILLIAMS, Thomas N.
2. SSN: 560-78-9349
3. Position Sensitivity Cat.: NS
4. Date of Birth: 12-31-54
5. Veteran Preference: ☐ 1—None 2—5 Pt. 3—10 Pt. Disab. 4—10 Pt. Comp. 5—10 Pt. Other 6—10 Pt. 30% Comp.
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement: ☐
9. FEGLI: ☐
10. FLSA: ☐ E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: ☐ 1—US 8—Other
13. Comp. Level (Q):
14. Effective Date:
15. Annuitant Indicator: ☐
16. Work Schedule: ☐ F—Full-time P—Part-time
17. (Reserved for OPM Use)

18-A NOAC:
18-B Nature of Action:
18-C Auth. Code:
18-D Authority:
18-E Auth. Code:
18-F Authority:

19-A NOAC:
19-B Nature of Action:
19-C Auth. Code:
19-D Authority:
19-E Auth. Code:
19-F Authority:

20. FROM: Position Title and Number: Rigger PD# 3382

21. Name and Location of Employing Office:
Supply Department Code 653
Marine Terminal Division
Rigging Branch
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 0593

22. Pay Plan & Occupational Code: WG 5210
23. Grade or Level: 10
24. Step or Rate:
25. Salary:
26. Pay Basis:

27. TO: Position Title and Number: Rigger Leader PD# 4014

28. Name and Location of Employing Office:
Supply Department Code 653
Marine Terminal Division
Rigging Branch
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 0593

29. Pay Plan & Occupational Code: WL 5210
30. Grade or Level: 10
31. Step or Rate:
32. Salary:
33. Pay Basis:

34. Duty Station: Port Hueneme, CA
35. Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved
36. Appropriation Code (Optional):
37. Remarks:

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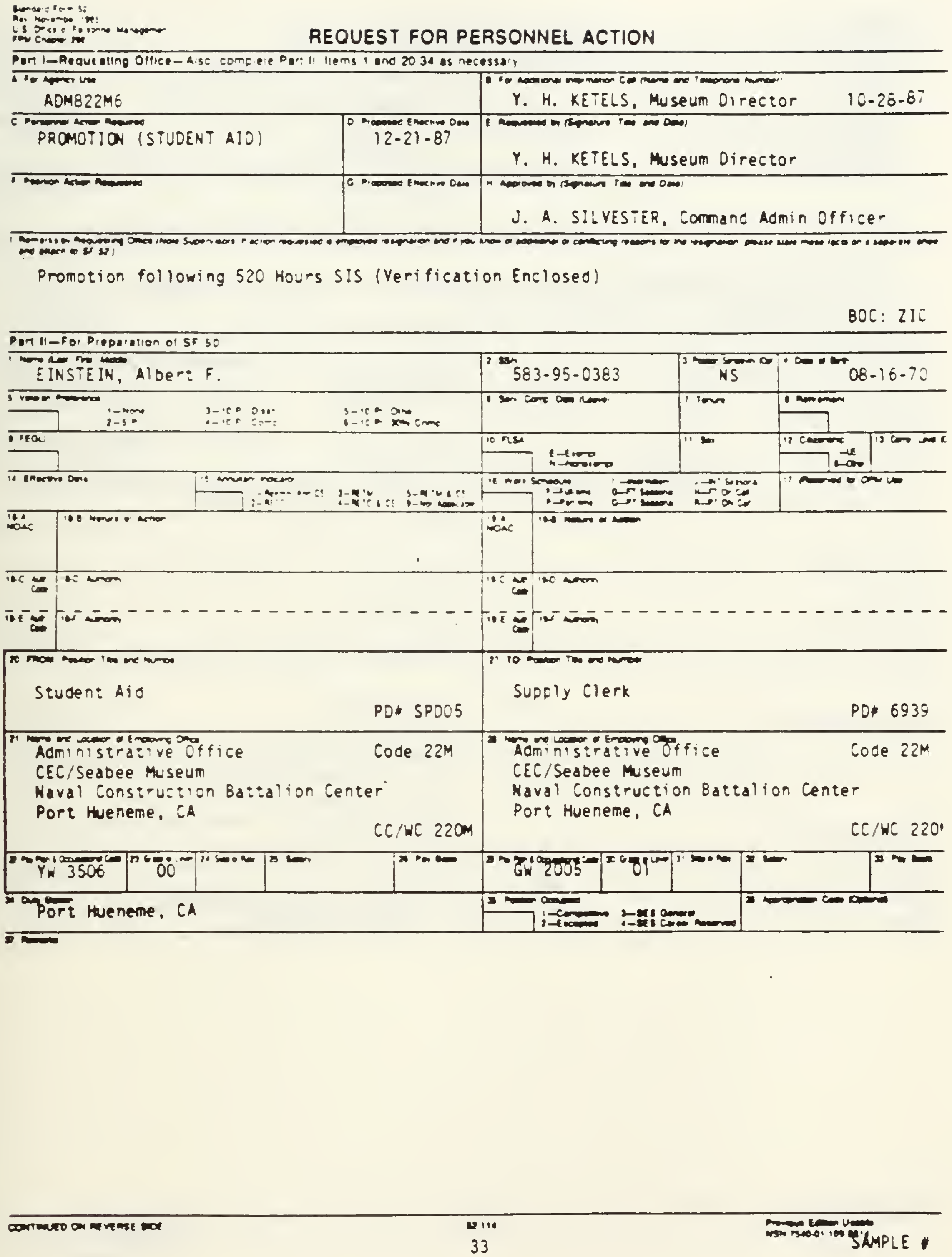
52-114

Previous Edition Usable
NSN 7540-01-109-9819

SAMPLE # 1



Standard Form 52
Rev. November 1985
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: ADM822M6

B. For Additional Information Call (Name and Telephone Number): Y. H. KETELS, Museum Director 10-28-87

C. Personnel Action Requested: PROMOTION (STUDENT AID)

D. Proposed Effective Date: 12-21-87

E. Requested by (Signature, Title and Date): Y. H. KETELS, Museum Director

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title and Date): J. A. SILVESTER, Command Admin Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Promotion following 520 Hours SIS (Verification Enclosed)

BOC: ZIC

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): EINSTEIN, Albert F.

2. SSN: 583-95-0383

3. Position Sensitivity Cd: NS

4. Date of Birth: 08-16-70

5. Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp

6. Serv. Comp. Date (Leave):

7. Tenure:

8. Retirement:

9. FEGLI:

10. FLSA: E—Exempt N—Nonexempt

11. Sex:

12. Citizenship: 1—US 8—Other

13. Comp. Level C

14. Effective Date:

15. Annuitant Indicator: 1—Reemp Ann CS 2—RETUS 3—RETM 4—RETC & CS 5—RETM & CS 9—Not Applicable

16. Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call

17. Reserved for OPM Use

18-A. NOAC

18-B. Nature of Action

18-C. Auth. Code

18-D. Authority

18-E. Auth. Code

18-F. Authority

19-A. NOAC

19-B. Nature of Action

19-C. Auth. Code

19-D. Authority

19-E. Auth. Code

19-F. Authority

20. FROM: Position Title and Number

Student Aid
PD# SPD05

21. TO: Position Title and Number

Supply Clerk
PD# 6939

21. Name and Location of Employing Office

Administrative Office Code 22M
CEC/Seabee Museum
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 220M

28. Name and Location of Employing Office

Administrative Office Code 22M
CEC/Seabee Museum
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 220'

22. Pay Plan & Occupational Code: YW 3506

23. Grade or Level: 00

24. Step or Rate:

25. Salary:

26. Pay Basis:

29. Pay Plan & Occupational Code: GW 2005

30. Grade or Level: 01

31. Step or Rate:

32. Salary:

33. Pay Basis:

34. Duty Station: Port Hueneme, CA

35. Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36. Appropriation Code (Optional)

37. Remarks

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Previous Edition Usable
NSN 7540-01-109-881

SAMPLE #

U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: SUP76593

B. For Additional Information Call (Name and Telephone Number): Sandi Hess, X4476 02-01-86

C. Personnel Action Requested: EXTENSION OF TEMPORARY PROMOTION NTE 03-15-87

D. Proposed Effective Date: 02-16-87

E. Requested by (Signature, Title, and Date): Elmer O. Reyna, Marine Terminal Div Director

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title, and Date): R. E. Steidle, CAPT, Supply Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Temp promotion is to replace G. Hernandez who is on LWOP. Extension requested as Mr. Hernandez has requested extension of his LWOP.
Request AMENDMENT to SF 52 #SUP76509 to CLG date of 8 Jun 87. BOC: ZJI

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): WILLIAMS, Thomas N.
2. SSN: 560-78-9349
3. Power Sensitivity (Opt): NS
4. Date of Birth: 12-31-54
5. Veteran Preference: ☐ 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement: ☐
9. FEGLI: ☐
10. FLSA: ☐ E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: ☐ 1—US 8—Other
13. Comp. Level C
14. Effective Date:
15. Annuitant Indicator: ☐ 1—Reemp Ann CS 2—RETC 3—RETM 4—RETC & CS 5—RETM & CS 9—Not Applicable
16. Work Schedule: ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call
17. (Reserved for OPM Use)

18-A NOAC | 18-B Nature of Action | 19-A NOAC | 19-B Nature of Action

18-C Auth Code | 18-D Authority | 19-C Auth Code | 19-D Authority

18-E Auth Code | 18-F Authority | 19-E Auth Code | 19-F Authority

20. FROM: Position Title and Number:

27. TO: Position Title and Number: Rigger Leader PD# 4014

21. Name and Location of Employing Office:

28. Name and Location of Employing Office:
Supply Department Code 653
Marine Terminal Division
Rigging Branch
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 0593

22. Pay Plan & Occupational Code | 23. Grade or Level | 24. Step or Rate | 25. Salary | 26. Pay Basis

29. Pay Plan & Occupational Code: WL 5210 | 30. Grade or Level: 10 | 31. Step or Rate: | 32. Salary: | 33. Pay Basis:

34. Duty Station: Port Hueneme, CA

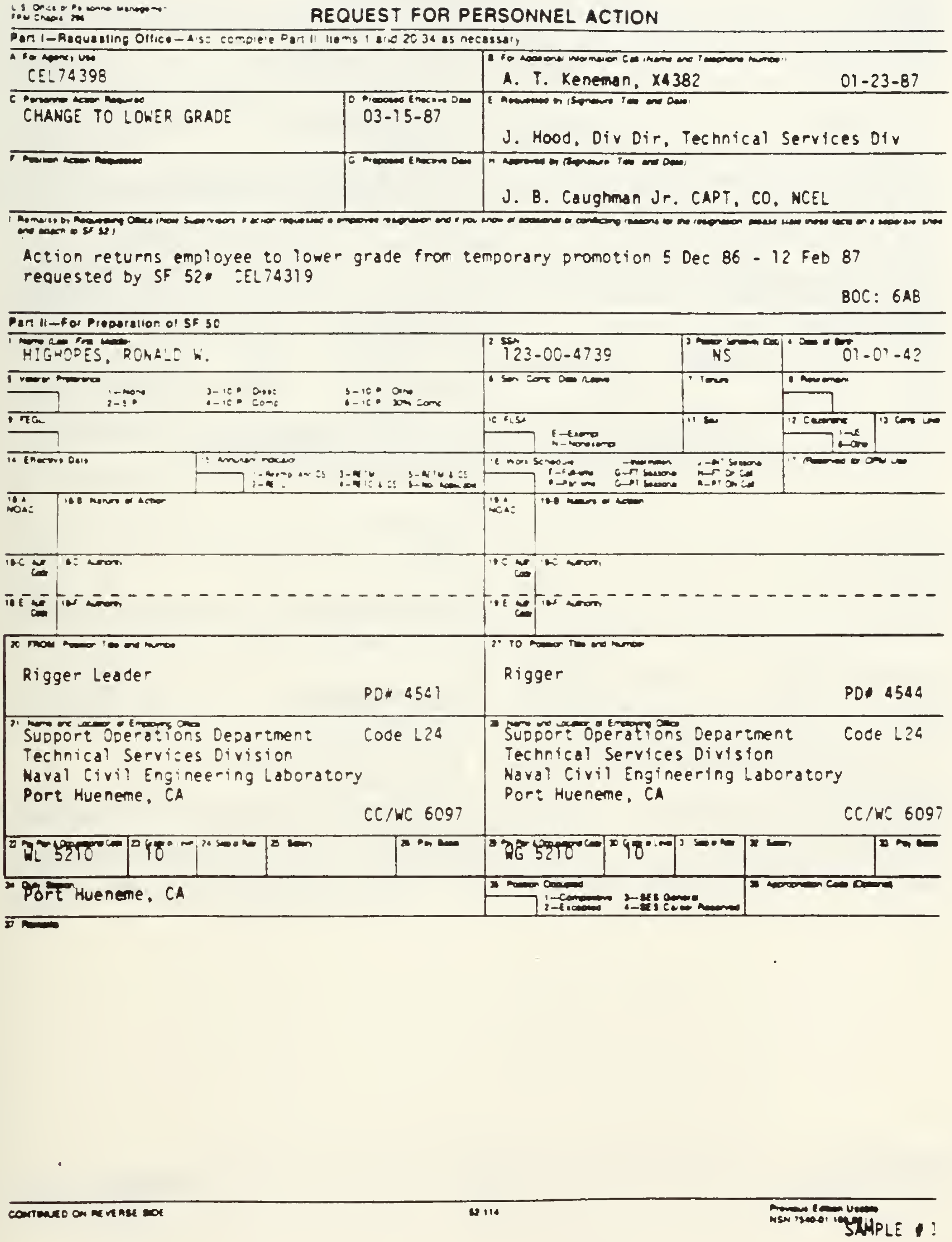
35. Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36. Appropriation Code (Optional):

37. Remarks:

CONTINUED ON REVERSE SIDE 52-114 Previous Edition Usable NSN 7540-01-180-8814

SAMPLE # 1



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: CEL74398

B For Additional Information Call (Name and Telephone Number): A. T. Keneman, X4382 01-23-87

C Personnel Action Requested: CHANGE TO LOWER GRADE

D Proposed Effective Date: 03-15-87

E Requested by (Signature, Title and Date): J. Hood, Div Dir, Technical Services Div

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title and Date): J. B. Caughman Jr. CAPT, CO, NCEL

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Action returns employee to lower grade from temporary promotion 5 Dec 86 - 12 Feb 87
requested by SF 52# CEL74319

BOC: 6AB

Part II—For Preparation of SF 50

1 Name (Last, First, Middle): HIGHOPES, RONALD W.

2 SSN: 123-00-4739

3 Position Sensitivity Code: NS

4 Date of Birth: 01-01-42

5 Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement:

9 FEGLI:

10 FLSA: E—Exempt N—Nonexempt

11 Sex:

12 Citizenship: 1—US 8—Other

13 Cong. Dist.:

14 Effective Date:

15 Annuitant Indicator: 1—Reemp Ann CS 2—RET UNIF 3—RETM 4—RET UNIF & CS 5—RETM & CS 9—Not Applicable

16 Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—INT Seasonal H—FT On Call R—PT On Call

17 (Reserved for OPM Use)

18-A NOAC: 18-B Nature of Action:

18-C Auth Code: 18-D Authority:

18-E Auth Code: 18-F Authority:

19-A NOAC: 19-B Nature of Action:

19-C Auth Code: 19-D Authority:

19-E Auth Code: 19-F Authority:

20 FROM: Position Title and Number

Rigger Leader
PD# 4541

21 TO: Position Title and Number

Rigger
PD# 4544

27 Name and Location of Employing Office

Support Operations Department Code L24
Technical Services Division
Naval Civil Engineering Laboratory
Port Hueneme, CA
CC/WC 6097

28 Name and Location of Employing Office

Support Operations Department Code L24
Technical Services Division
Naval Civil Engineering Laboratory
Port Hueneme, CA
CC/WC 6097

22 Pay Plan & Occupational Code: WL 5210

23 Grade or Level: 10

24 Step or Rate:

25 Salary:

26 Pay Basis:

29 Pay Plan & Occupational Code: WG 5210

30 Grade or Level: 10

31 Step or Rate:

32 Salary:

33 Pay Basis:

34 Duty Station: Port Hueneme, CA

35 Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36 Appropriation Code (Optional):

37 Remarks

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NSN 7540-01-100-

SAMPLE # 1

U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use
SUP66235

B. For Additional Information Call (Name and Telephone Number)
Sandi Hess, X4476 05-23-86

C. Personnel Action Requested
REASSIGNMENT

D. Proposed Effective Date
07-05-86

E. Requested by (Signature, Title and Date)
C. M. Rowan, Director, Warehouse Division

F. Position Action Requested

G. Proposed Effective Date
07-06-86

H. Approved by (Signature, Title and Date)
R. E. Steidle, Capt, SC, USN

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Incumbent is currently on a Career Ladder position with a target level of GS-1087-5. Reassignment would be to a position with promotion potential no higher than currently held position.
BOC: ZAJ

Part II—For Preparation of SF 50

1. Name (Last, First, Middle)
COOPER, RODNEY M.

2. SSN
239-56-6735

3. Position Sensitivity Code
NS

4. Date of Birth
05-14-60

5. Veteran Preference
1—None
2—5 P
3—10 P Disab
4—10 P Comp
5—10 P Other
6—10 P 30% Comp

6. Serv. Comp. Date (Leave)

7. Tenure

8. Retirement

9. FEGLI

10. FLSA
E—Exempt
N—Nonexempt

11. Sex

12. Citizenship
1—US
8—Other

13. Comp. Level Code

14. Effective Date

15. Annuitant Indicator
1—Reemp. Ann. CS
2—RE IC
3—RE TM
4—RE IC & CS
5—RE TM & CS
9—Not Applicable

16. Work Schedule
F—Full-time
P—Part-time
I—Intermittent
G—FT Seasonal
Q—PT Seasonal
J—Int. Seasonal
H—FT On Call
R—PT On Call

17. Reserved for OPM Use

18-A NOAC
18-B Nature of Action
18-C Auth Code
18-D Authority
18-E Auth Code
18-F Authority

19-A NOAC
19-B Nature of Action
19-C Auth Code
19-D Authority
19-E Auth Code
19-F Authority

20. FROM: Position Title and Number
Editorial Clerk (Typing)
PD# 4892

27. TO: Position Title and Number
Office Information Systems Clerk (Typing)
PD# 6119

21. Name and Location of Employing Office
Supply Department Code 622
Admin/Planning/Inventory Division
Admin Services Branch
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 0301

28. Name and Location of Employing Office
Supply Department Code 622
Admin/Planning/Inventory Division
Admin Services Branch
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 0301

22. Pay Plan & Occupational Code	23. Grade or Level	24. Step or Rate	25. Salary	26. Pay Basis
GS 1087	04			

29. Pay Plan & Occupational Code	30. Grade or Level	31. Step or Rate	32. Salary	33. Pay Basis
GS 0303	04			

34. Duty Station
Port Hueneme, Ventura, CA

35. Position Occupied
1—Competitive
2—Excepted
3—SES General
4—SES Career Reserved

36. Appropriation Code (Optional)

37. Remarks

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Previous Edition Usable
NSN 7540-01-169-6814

SAMPLE # 16

Standard Form 52
Rev. November 1981
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: CES706AR

B. For Additional Information Call (Name and Telephone Number): S. Stevens, X5801 02-22-87

C. Personnel Action Requested: RECRUITMENT (PERMANENT)

D. Proposed Effective Date: 04-12-87

E. Requested by (Signature, Title and Date): J. Moreland, Equipment Engineering Branch

F. Position Action Requested: ESTABLISH

G. Proposed Effective Date: 04-12-87

H. Approved by (Signature, Title and Date): Charles S. Smith, Jr., Deputy Director, CESO

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Security Clearance Is Required for this Position. Advertise for 4 weeks
AOC: DOD Activities Nationwide Ranking Official: R. P. Jones, X5891
Selecting Official: C. Smith, X4314 First Level Supervisor: J. Moreland, X3486 BOC: GBB

Part II—For Preparation of SF 50

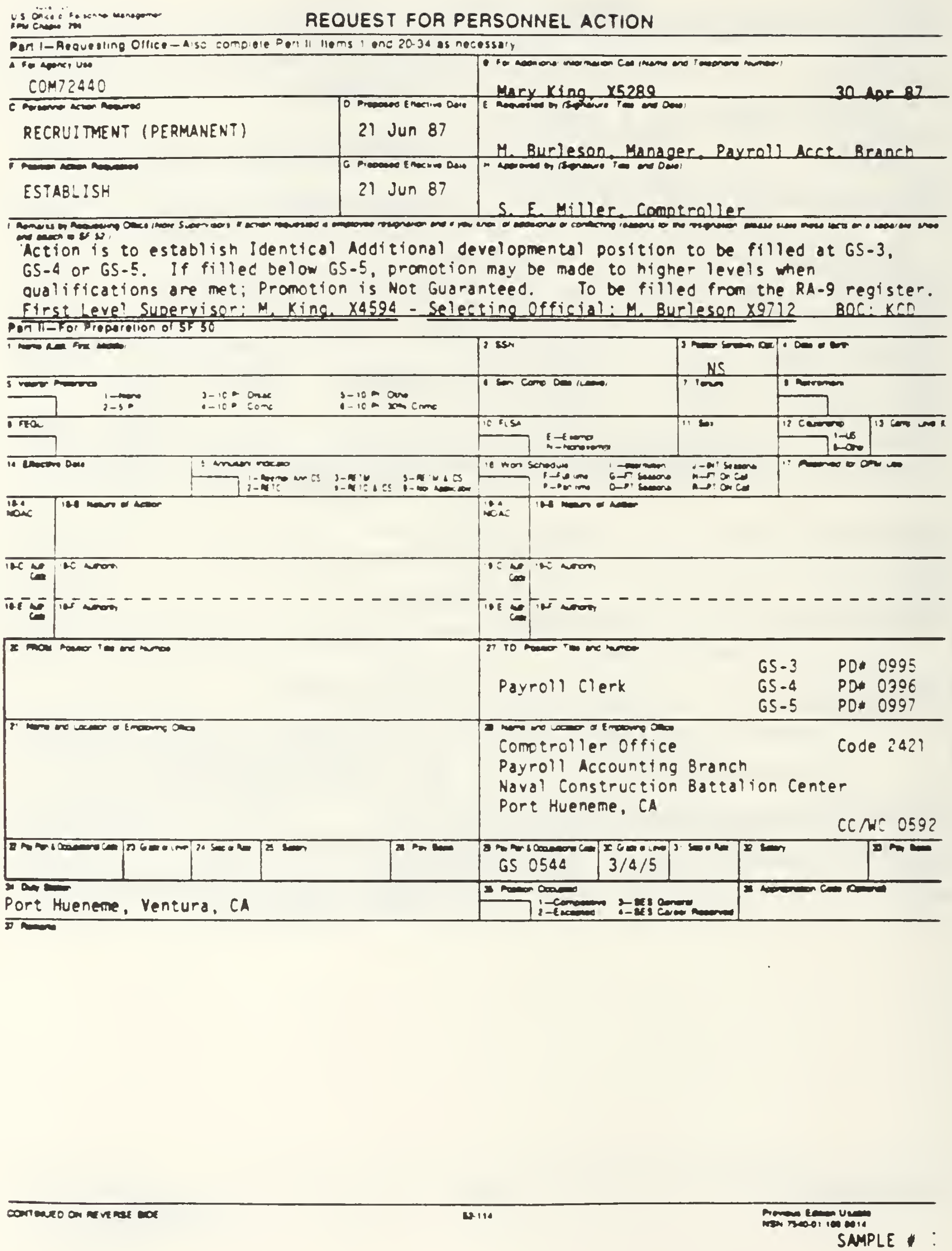
1. Name (Last, First, Middle):
2. SSN:
3. Position Sensitivity Code: CS
4. Date of Birth:
5. Veteran Preference: 1—None 2—5 Pt 3—10 Pt Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt 30% Comp
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement:
9. FEGLI:
10. FLSA: E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: 1—US 8—Other
13. Comp. Level K
14. Effective Date:
15. Annuitant Indicator: 1—Reemp Ann CS 2—RET'D 3—RET M 4—RET'D & CS 5—RET M & CS 9—Not Applicable
16. Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call
17. (Reserved for OPM Use)
18-A NOAC | 18-B Nature of Action
18-C Auth Code | 18-D Authority
18-E Auth Code | 18-F Authority
19-A NOAC | 19-B Nature of Action
19-C Auth Code | 19-D Authority
19-E Auth Code | 19-F Authority
20. FROM: Position Title and Number:
21. TO: Position Title and Number: Mechanical Engineer PD#
27. Name and Location of Employing Office:
28. Name and Location of Employing Office:
Civil Engineer Support Office Code 153A
Equipment Engineering Branch
Naval Construction Battalion Center
CC/WC 0501

22. Pay Plan & Occupational Code	23. Grade or Level	24. Step or Rate	25. Salary	26. Pay Basis	29. Pay Plan & Occupational Code	30. Grade or Level	31. Step or Rate	32. Salary	33. Pay Basis
					GS 0830	12			

34. Duty Station: Port Hueneme, Ventura, CA
35. Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved
36. Appropriation Code (Optional):
37. Remarks

CONTINUED ON REVERSE SIDE 52-114 Previous Edition Usable NSN 7540-01-100-8814

SAMPLE # 1



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: COM72440

B For Additional Information Call (Name and Telephone Number): Mary King, X5289 30 Apr 87

C Personnel Action Requested: RECRUITMENT (PERMANENT)

D Proposed Effective Date: 21 Jun 87

E Requested by (Signature, Title and Date): M. Burleson, Manager, Payroll Acct. Branch

F Position Action Requested: ESTABLISH

G Proposed Effective Date: 21 Jun 87

H Approved by (Signature, Title and Date): S. E. Miller, Comptroller

I Remarks by Requesting Office:

Action is to establish Identical Additional developmental position to be filled at GS-3, GS-4 or GS-5. If filled below GS-5, promotion may be made to higher levels when qualifications are met; Promotion is Not Guaranteed. To be filled from the RA-9 register. First Level Supervisor: M. King, X4594 - Selecting Official: M. Burleson X9712 BOC: KCD

Part II—For Preparation of SF 50

1 Name (Last, First, Middle):

2 SSN:

3 Position Sensitivity Code: NS

4 Date of Birth:

5 Veterans Preference:

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement:

9 FEGLI:

10 FLSA:

11 Sex:

12 Citizenship:

14 Effective Date:

15 Annuitant Indicator:

16 Work Schedule:

17 Reserved for OPM Use:

18-A NOAC:

18-B Nature of Action:

18-C Auth. Code:

18-D Authority:

18-E Auth. Code:

18-F Authority:

20 FROM: Position Title and Number:

27 TO: Position Title and Number:

Payroll Clerk	GS-3	PD# 0995
	GS-4	PD# 0996
	GS-5	PD# 0997

21 Name and Location of Employing Office:

28 Name and Location of Employing Office:

Comptroller Office Code 2421
Payroll Accounting Branch
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 0592

29 Pay Plan & Occupational Code: GS 0544

30 Grade or Level: 3/4/5

34 Duty Station: Port Hueneme, Ventura, CA

35 Position Occupied:

36 Appropriation Code (Optional):

37 Remarks:

CONTINUED ON REVERSE SIDE

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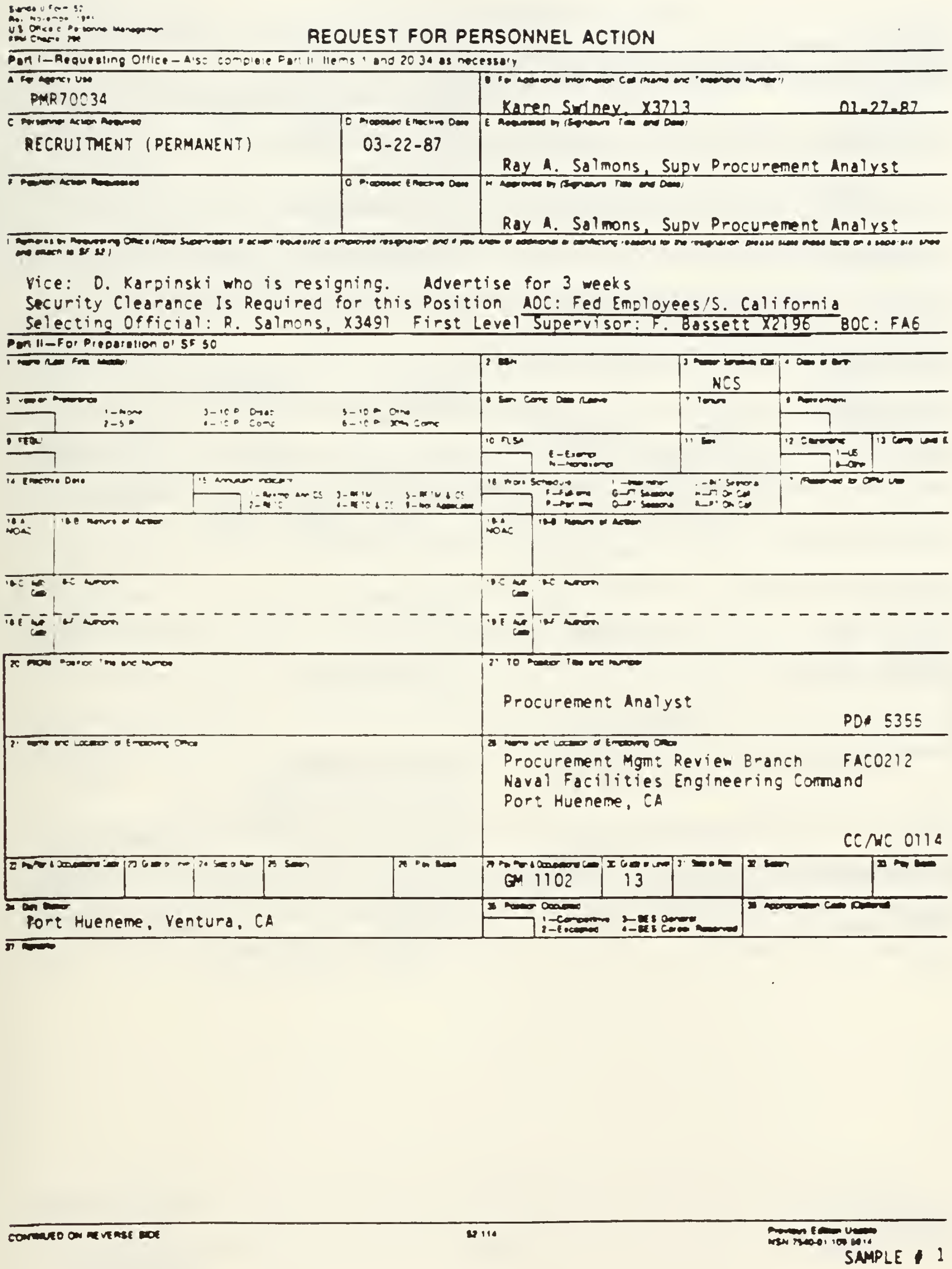
Previous Edition Usable

SAMPLE #



Standard Form 52
Rev. November 1981
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use PMR70034		B For Additional Information Call (Name and Telephone Number) Karen Swiney, X3713 01-27-87
C Personnel Action Requested RECRUITMENT (PERMANENT)	D Proposed Effective Date 03-22-87	E Requested by (Signature, Title and Date) Ray A. Salmons, Supv Procurement Analyst
F Position Action Requested	G Proposed Effective Date	H Approved by (Signature, Title and Date) Ray A. Salmons, Supv Procurement Analyst

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Vice: D. Karpinski who is resigning. Advertise for 3 weeks
Security Clearance Is Required for this Position AOC: Fed Employees/S. California
Selecting Official: R. Salmons, X3491 First Level Supervisor: F. Bassett X2196 BOC: FA6

Part II—For Preparation of SF 50

1 Name (Last, First, Middle)	2 SSN	3 Position Sensitivity Code NCS	4 Date of Birth
5 Veteran Preference 1—None 2—5 Pt. 3—10 Pt. Disab. 4—10 Pt. Comp. 5—10 Pt. Other 6—10 Pt. 30% Comp.	6 Serv. Comp. Date (Leave)	7 Tenure	8 Retirement
9 FEGLI	10 FLSA E—Exempt N—Nonexempt	11 Sex	12 Citizenship 1—US 8—Other 13 Comp. Level
14 Effective Date 15 Annuitant Indicator 1—Reemp. Ann. CS 2—RET'D 3—RET M 4—RET'D & CS 5—RET M & CS 9—Not Applicable	16 Work Schedule F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int. Seasonal K—FT On Call L—PT On Call		17 (Reserved for OPM Use)

18-A NOAC 18-B Nature of Action	19-A NOAC 19-B Nature of Action
18-C Auth. Code 18-D Authority	19-C Auth. Code 19-D Authority
18-E Auth. Code 18-F Authority	19-E Auth. Code 19-F Authority
20 FROM: Position Title and Number	21 TO: Position Title and Number Procurement Analyst PD# 5355
27 Name and Location of Employing Office	28 Name and Location of Employing Office Procurement Mgmt Review Branch FAC0212 Naval Facilities Engineering Command Port Hueneme, CA CC/WC 0114

22 Pay Plan & Occupational Code	23 Grade or Level	24 Step or Rate	25 Salary	26 Pay Basis	29 Pay Plan & Occupational Code	30 Grade or Level	31 Step or Rate	32 Salary	33 Pay Basis
					GM 1102	13			

34 Duty Station Port Hueneme, Ventura, CA	35 Position Occupied 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved	36 Appropriation Code (Optional)

37 Remarks

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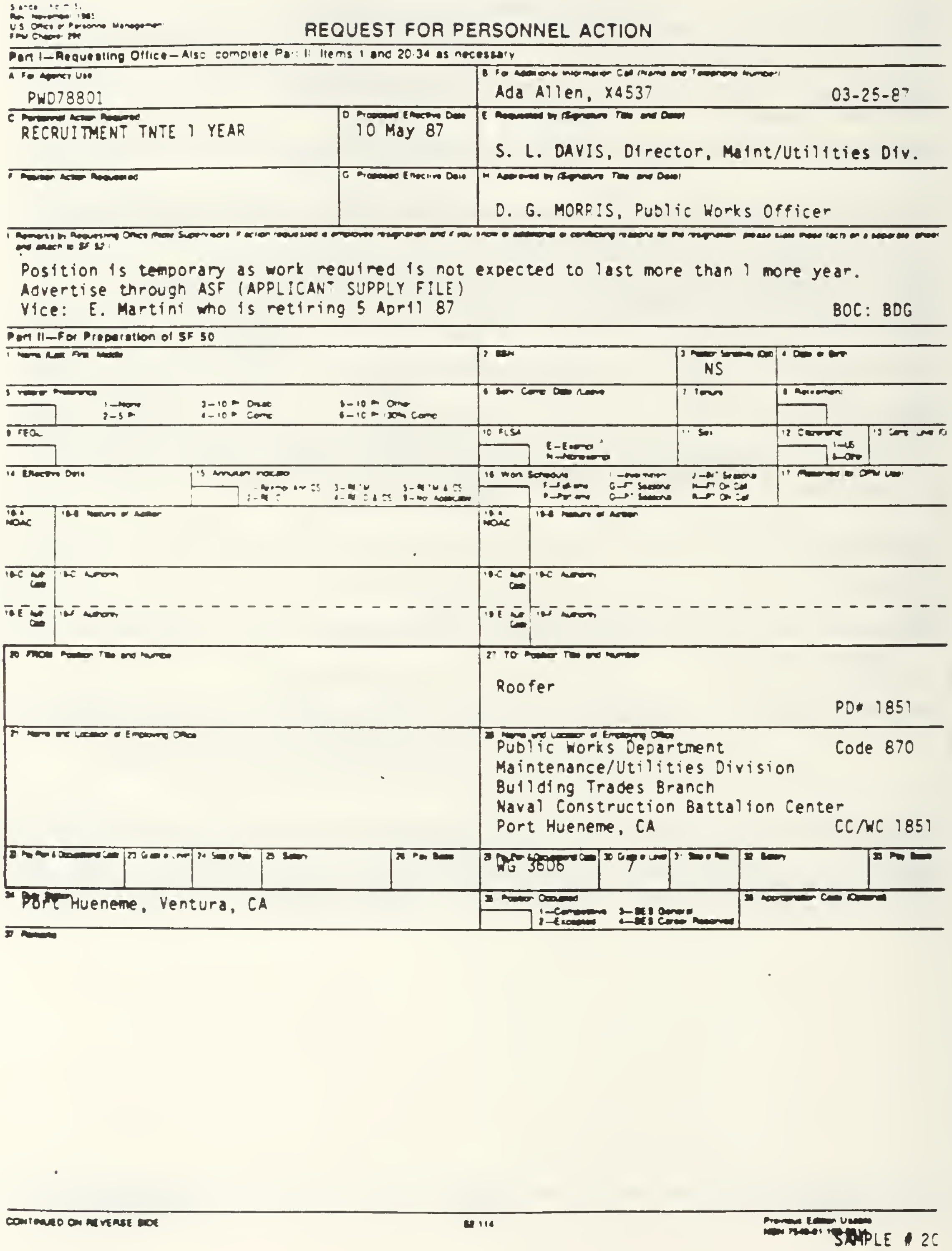
SAMPLE # 1



REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II: Items 1 and 20-34 as necessary

A For Agency Use PWD78801	B For Additional Information Call (Name and Telephone Number) Ada Allen, X4537 03-25-87

C Personnel Action Requested RECRUITMENT TNTE 1 YEAR	D Proposed Effective Date 10 May 87	E Requested by (Signature, Title, and Date) S. L. DAVIS, Director, Maint/Utilities Div.
F Position Action Requested	G Proposed Effective Date	H Approved by (Signature, Title, and Date) D. G. MORRIS, Public Works Officer

I Remarks by Requesting Office

Position is temporary as work required is not expected to last more than 1 more year.
Advertise through ASF (APPLICANT SUPPLY FILE)
Vice: E. Martini who is retiring 5 April 87 BOC: BDG

Part II—For Preparation of SF 50

1 Name (Last, First, Middle)	2 SSN	3 Position Sensitivity Code NS	4 Date of Birth
5 Veteran Preference ☐ 1—None 2—5 Pt 3—10 Pt Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt/30% Comp	6 Serv. Comp. Date (Leave)	7 Tenure	8 Retirement ☐
9 FEGLI ☐	10 FLSA ☐ E—Exempt N—Nonexempt	11 Sex	12 Citizenship ☐ 1—US 8—Other
14 Effective Date	15 Annuitant Indicator ☐	16 Work Schedule ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call	17 Reserved for OPM Use

18-A NOAC	18-B Nature of Action	19-A NOAC	19-B Nature of Action
18-C Auth Code	18-D Authority	19-C Auth Code	19-D Authority
18-E Auth Code	18-F Authority	19-E Auth Code	19-F Authority

20 FROM: Position Title and Number	27 TO: Position Title and Number Roofer PD# 1851
21 Name and Location of Employing Office	28 Name and Location of Employing Office Public Works Department Code 870 Maintenance/Utilities Division Building Trades Branch Naval Construction Battalion Center Port Hueneme, CA CC/WC 1851

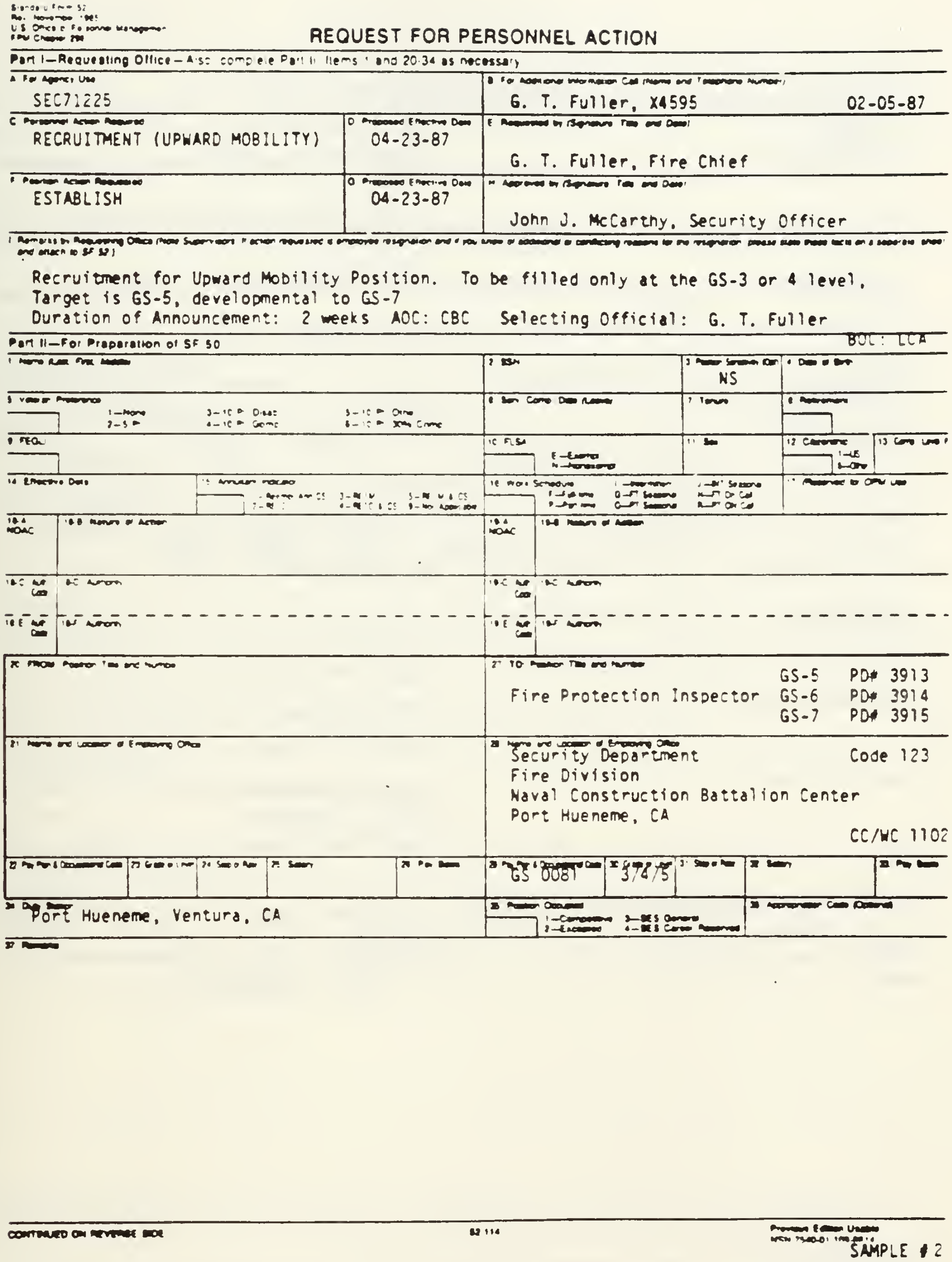
22 Pay Plan & Occupational Code	23 Grade or Level	24 Step or Rate	25 Salary	26 Pay Basis	29 Pay Plan & Occupational Code WG 3606	30 Grade or Level 7	31 Step or Rate	32 Salary	33 Pay Basis

34 Duty Station Port Hueneme, Ventura, CA	35 Position Occupied ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved	36 Appropriation Code (Optional)

37 Remarks

CONTINUED ON REVERSE SIDE 52-114 Previous Edition Usable

SAMPLE # 2C



Standard Form 52
Rev. November 1985
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office— Also complete Part II, Items 1 and 20-34 as necessary

A. For Agency Use: SEC71225

B. For Additional Information Call (Name and Telephone Number): G. T. Fuller, X4595 02-05-87

C. Personnel Action Requested: RECRUITMENT (UPWARD MOBILITY)

D. Proposed Effective Date: 04-23-87

E. Requested by (Signature, Title, and Date): G. T. Fuller, Fire Chief

F. Position Action Requested: ESTABLISH

G. Proposed Effective Date: 04-23-87

H. Approved by (Signature, Title, and Date): John J. McCarthy, Security Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Recruitment for Upward Mobility Position. To be filled only at the GS-3 or 4 level,
Target is GS-5, developmental to GS-7
Duration of Announcement: 2 weeks AOC: CBC Selecting Official: G. T. Fuller

Part II—For Preparation of SF 50 BOC: LCA

1. Name (Last, First, Middle):
2. SSN:
3. Position Sensitivity Code: NS
4. Date of Birth:
5. Veterans Preference: 1—None 2—5 Pt 3—10 Pt Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt 30% Comp
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement:
9. FEGLI:
10. FLSA: E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: 1—US 8—Other
13. Comp. Level
14. Effective Date:
15. Annuitant Indicator
16. Work Schedule: F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—INT Seasonal K—FT On Call R—PT On Call
17. Reserved for OPM Use
18-A. NOAC 18-B. Nature of Action
18-C. Auth. Code 18-D. Authority
18-E. Auth. Code 18-F. Authority
19-A. NOAC 19-B. Nature of Action
19-C. Auth. Code 19-D. Authority
19-E. Auth. Code 19-F. Authority
20. FROM: Position Title and Number:
27. TO: Position Title and Number:

Fire Protection Inspector GS-5 PD# 3913
GS-6 PD# 3914
GS-7 PD# 3915

21. Name and Location of Employing Office:
28. Name and Location of Employing Office:

Security Department Code 123
Fire Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 1102

22. Pay Plan & Occupational Code
23. Grade or Level
24. Step or Rate
25. Salary
26. Pay Basis
29. Pay Plan & Occupational Code: GS 0081
30. Grade or Level: 3/4/5
31. Step or Rate
32. Salary
33. Pay Basis
34. Duty Station: Port Hueneme, Ventura, CA
35. Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved
36. Appropriation Code (Optional)
37. Remarks

CONTINUED ON REVERSE SIDE

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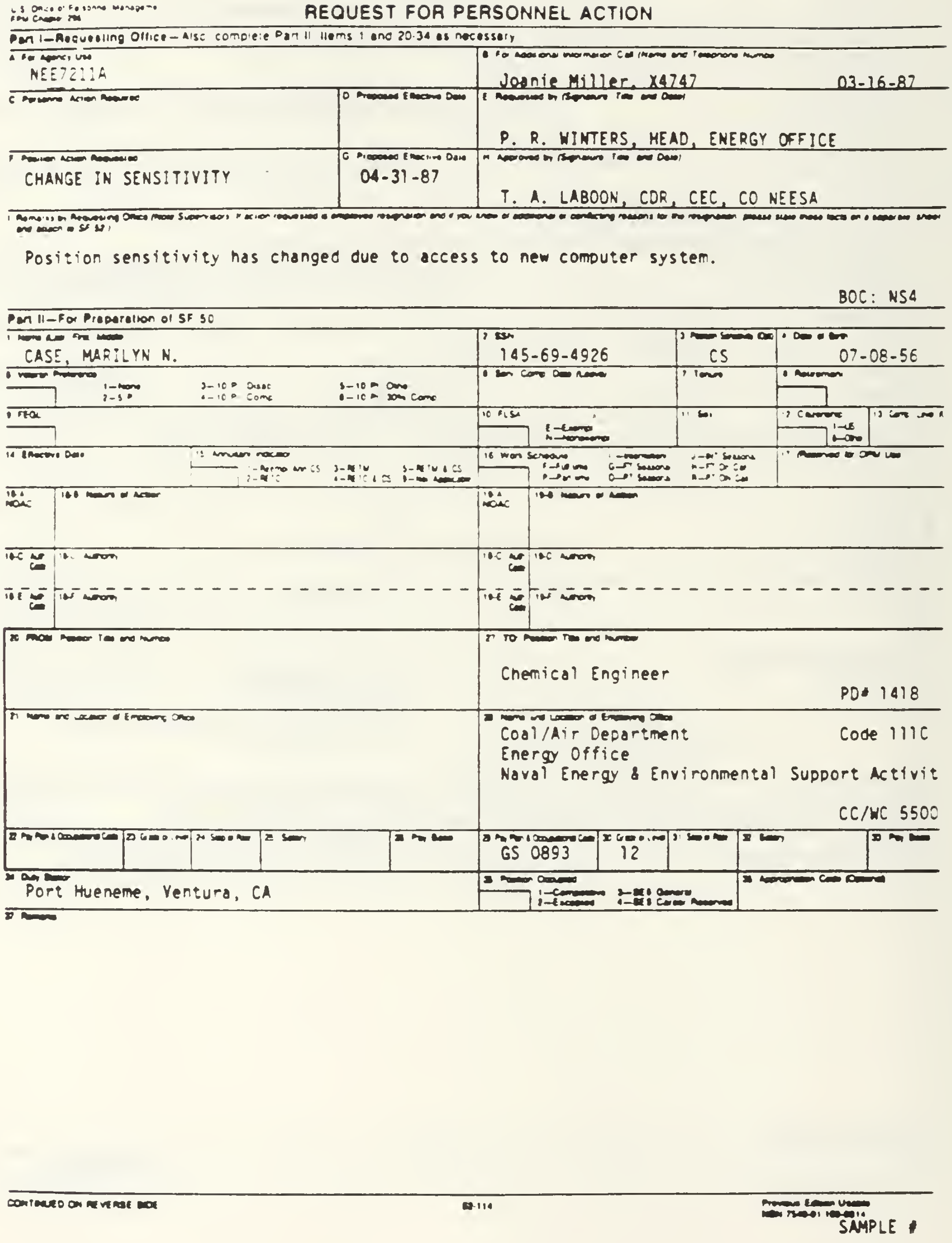
SAMPLE # 2



REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: NEE7211A

B. For Additional Information Call (Name and Telephone Number): Joanie Miller, X4747 03-16-87

C. Personnel Action Requested:

D. Proposed Effective Date:

E. Requested by (Signature, Title, and Date): P. R. WINTERS, HEAD, ENERGY OFFICE

F. Position Action Requested: CHANGE IN SENSITIVITY

G. Proposed Effective Date: 04-31-87

H. Approved by (Signature, Title, and Date): T. A. LABOON, CDR, CEC, CO NEESA

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Position sensitivity has changed due to access to new computer system.

BOC: NS4

Part II—For Preparation of SF 50

1. Name (Last, First, Middle): CASE, MARILYN N.
2. SSN: 145-69-4926
3. Position Sensitivity Code: CS
4. Date of Birth: 07-08-56
5. Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 Pt Other 6—10 Pt 30% Comp
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement:
9. FEGLI:
10. FLSA: E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: 1—US 8—Other
13. Comp. Level
14. Effective Date:
15. Annuitant Indicator: 1—Reemp Ann CS 2—RET-C 3—RET-M 4—RET-C & CS 5—RET-M & CS 9—Not Applicable
16. Work Schedule: F—Full time P—Part time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call
17. Reserved for OPM Use

18-A NOAC | 18-B Nature of Action | 19-A NOAC | 19-B Nature of Action

18-C Auth Code | 18-D Authority | 19-C Auth Code | 19-D Authority

18-E Auth Code | 18-F Authority | 19-E Auth Code | 19-F Authority

20. FROM: Position Title and Number:

27. TO: Position Title and Number: Chemical Engineer PD# 1418

21. Name and Location of Employing Office:

28. Name and Location of Employing Office:
Coal/Air Department Code 111C
Energy Office
Naval Energy & Environmental Support Activit
CC/WC 5500

22. Pay Plan & Occupational Code | 23. Grade or Level | 24. Step or Rate | 25. Salary | 26. Pay Basis

29. Pay Plan & Occupational Code: GS 0893 | 30. Grade or Level: 12 | 31. Step or Rate | 32. Salary | 33. Pay Basis

34. Duty Station: Port Hueneme, Ventura, CA

35. Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36. Appropriation Code (Optional)

37. Remarks

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SAMPLE #

Standard Form 52
Rev. November 1981
U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: CED79035

B. For Additional Information Call (Name and Telephone Number): Don Bangs, X5674 11-09-86

C. Personnel Action Requested: RESIGNATION

D. Proposed Effective Date: 11-30-86

E. Requested by (Signature, Title, and Date):

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title, and Date):

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Part II—For Preparation of SF 50 BOC: FQE

1. Name (Last, First, Middle): WILLIAMS, HAROLD C.

2. SSN: 134-58-6987

3. Position Sensitivity Cd: NS

4. Date of Birth: 10-04-47

5. Veteran Preference: ☐ 1—None 2—5 Pt. 3—10 Pt. Disab. 4—10 Pt. Comp. 5—10 Pt. Other 6—10 Pt. 30% Comp.

6. Serv. Comp. Date (Leave):

7. Tenure:

8. Retirement: ☐

9. FEGLI: ☐

10. FLSA: ☐ E—Exempt N—Nonexempt

11. Sex:

12. Citizenship: ☐ 1—US 8—Other

13. Comp. Unit ID:

14. Effective Date:

15. Annuitant Indicator: ☐ 1—Reemp. Anr CS 2—Ret. UC 3—Ret. M 4—Ret. UC & CS 5—Ret. M & CS 9—Not Applicable

16. Work Schedule: ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int. Seasonal H—FT On Call R—PT On Call

17. Reserved for OPM Use:

18-A. NOAC:

18-B. Nature of Action:

18-C. Auth. Code:

18-D. Authority:

18-E. Auth. Code:

18-F. Authority:

19-A. NOAC:

19-B. Nature of Action:

19-C. Auth. Code:

19-D. Authority:

19-E. Auth. Code:

19-F. Authority:

20. FROM: Position Title and Number:
Heavy Mobile Equipment Mechanic
PD# 1620

21. Name and Location of Employing Office:
Construction Equipment Dept Code 93
Shops Division
Naval Construction Battalion Center
CC/WC 0740

22. Pay Plan & Occupational Code: WG 5803

23. Grade or Level: 10

24. Step or Rate:

25. Salary:

26. Pay Basis:

27. TO: Position Title and Number:

28. Name and Location of Employing Office:

29. Pay Plan & Occupational Code:

30. Grade or Level:

31. Step or Rate:

32. Salary:

33. Pay Basis:

34. Duty Station: Port Hueneme, Ventura, CA

35. Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36. Appropriation Code (Optional):

37. Remarks:

CONTINUED ON REVERSE SIDE

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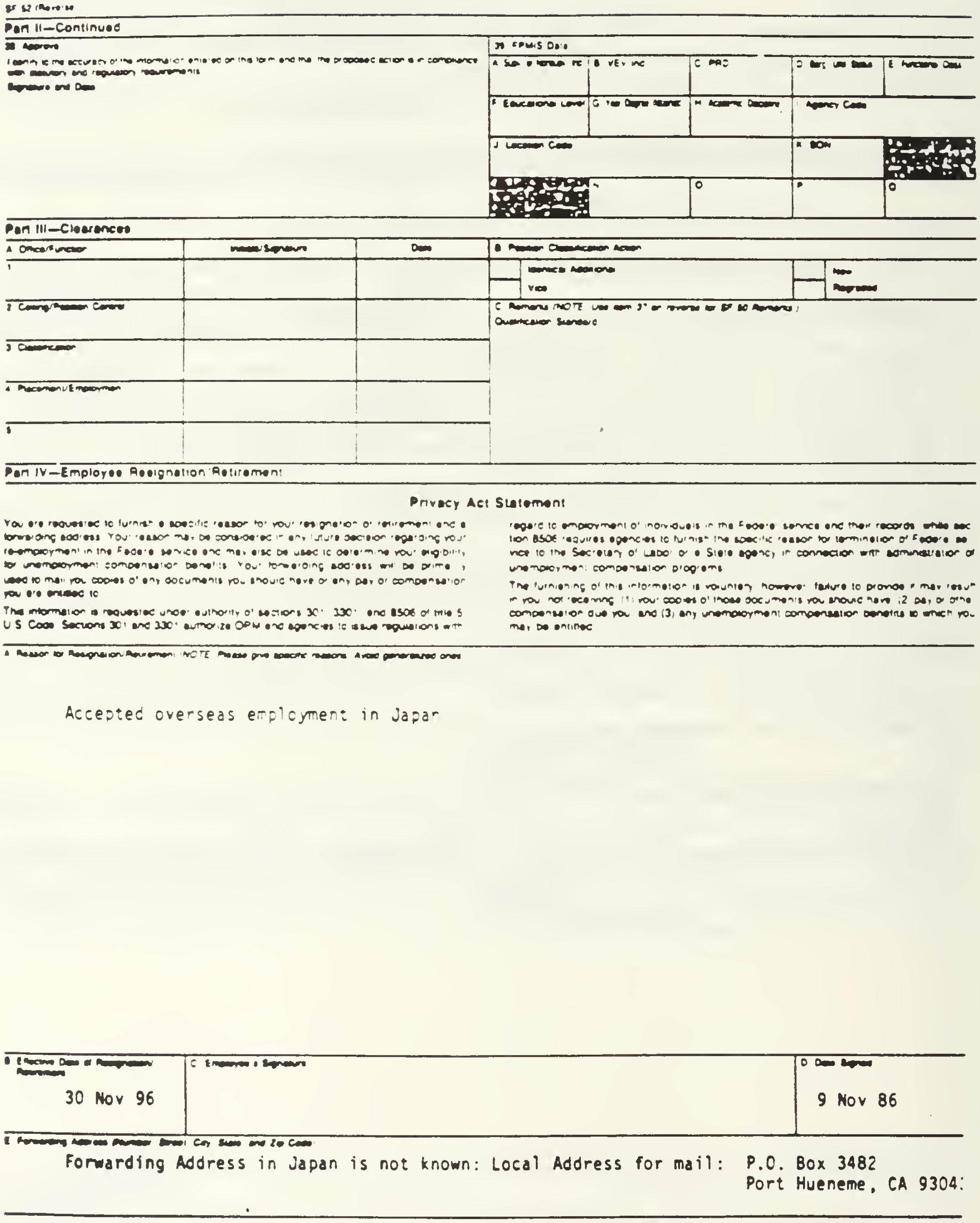
SAMPLE # -2



SF 52 (Reverse)

Part II—Continued

38 Approval

I certify to the accuracy of the information entered on this form and that the proposed action is in compliance with statutory and regulatory requirements

Signature and Date

39 FPMS Data

A Supv. Indicator	B VEv Inc	C PRD	D Barg. Unit Status	E Functional Class
F Educational Level	G Year Degree Attained	H Academic Discipline	I Agency Code	
J Location Code			K SON	
	N	O	P	Q

Part III—Clearances

A Office/Function	Initials/Signature	Date
1		
2 Ceiling/Position Control		
3 Classification		
4 Placement/Employment		
5		

B Position Classification Action

☐ Identical Additional

☐ Vice

☐ New

☐ Regraded

C Remarks (NOTE: Use item 31 on reverse for SF 50 Remarks.)

Qualification Standard

Part IV—Employee Resignation/Retirement

Privacy Act Statement

You are requested to furnish a specific reason for your resignation or retirement and a forwarding address. Your reason may be considered in any future decision regarding your re-employment in the Federal service and may also be used to determine your eligibility for unemployment compensation benefits. Your forwarding address will be primarily used to mail you copies of any documents you should have or any pay or compensation you are entitled to.

This information is requested under authority of sections 301, 3301, and 8506 of title 5 U.S. Code. Sections 301 and 3301 authorize OPM and agencies to issue regulations with regard to employment of individuals in the Federal service and their records, while section 8506 requires agencies to furnish the specific reason for termination of Federal service to the Secretary of Labor or a State agency in connection with administration of unemployment compensation programs.

The furnishing of this information is voluntary; however, failure to provide it may result in your not receiving: (1) your copies of those documents you should have; (2) pay or other compensation due you; and (3) any unemployment compensation benefits to which you may be entitled.

A Reason for Resignation/Retirement (NOTE: Please give specific reasons. Avoid generalized ones.)

Accepted overseas employment in Japan

B Effective Date of Resignation/Retirement	C Employee's Signature	D Date Signed
30 Nov 96		9 Nov 86

E Forwarding Address (Number, Street, City, State, and Zip Code)

Forwarding Address in Japan is not known: Local Address for mail: P.O. Box 3482
Port Hueneme, CA 9304

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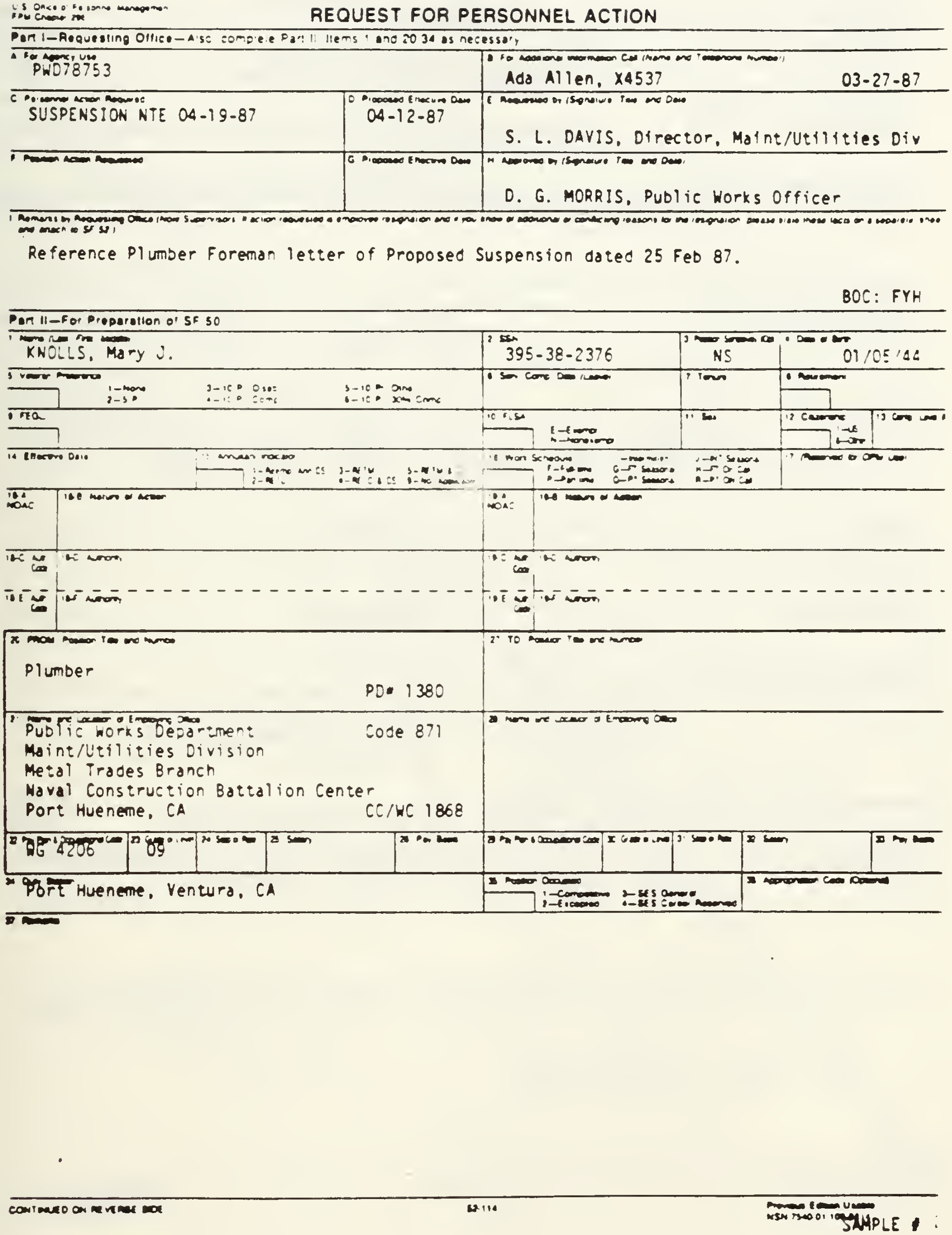

U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: PWD78753

B For Additional Information Call (Name and Telephone Number): Ada Allen, X4537 03-27-87

C Personnel Action Requested: SUSPENSION NTE 04-19-87

D Proposed Effective Date: 04-12-87

E Requested by (Signature, Title and Date): S. L. DAVIS, Director, Maint/Utilities Div

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title and Date): D. G. MORRIS, Public Works Officer

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Reference Plumber Foreman letter of Proposed Suspension dated 25 Feb 87.

BOC: FYH

Part II—For Preparation of SF 50

1 Name (Last, First, Middle): KNOLLS, Mary J.

2 SSN: 395-38-2376

3 Position Sensitivity Code: NS

4 Date of Birth: 01/05/44

5 Veteran Preference: ☐ 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 P Other 6—10 P 30% Comp

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement: ☐

9 FEGLI: ☐

10 FLSA: ☐ E—Exempt N—Nonexempt

11 Sex:

12 Citizenship: ☐ 1—US 8—Other

13 Comp. Level #

14 Effective Date:

15 Annuitant Indicator: ☐ 1—Reemp Ann CS 2—RE 3—RETM 4—RE C & CS 5—RETM & 9—No Applicable

16 Work Schedule: ☐ F—Full-time P—Part-time I—Intermittent G—FT Seasonal Q—PT Seasonal J—PT Seasonal H—FT On Call R—PT On Call

17 (Reserved for OPM Use)

18-A NOAC

18-B Nature of Action

18-C Auth Code

18-D Authority

18-E Auth Code

18-F Authority

19-A NOAC

19-B Nature of Action

19-C Auth Code

19-D Authority

19-E Auth Code

19-F Authority

20 FROM: Position Title and Number: Plumber PD# 1380

21 TO: Position Title and Number:

27 Name and Location of Employing Office:
Public Works Department Code 871
Maint/Utilities Division
Metal Trades Branch
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 1868

28 Name and Location of Employing Office:

22 Pay Plan & Occupational Code: WG 4206

23 Grade or Level: 09

24 Step or Rate:

25 Salary:

26 Pay Basis:

29 Pay Plan & Occupational Code:

30 Grade or Level:

31 Step or Rate:

32 Salary:

33 Pay Basis:

34 Duty Station: Port Hueneme, Ventura, CA

35 Position Occupied: ☐ 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36 Appropriation Code (Optional):

37 Remarks

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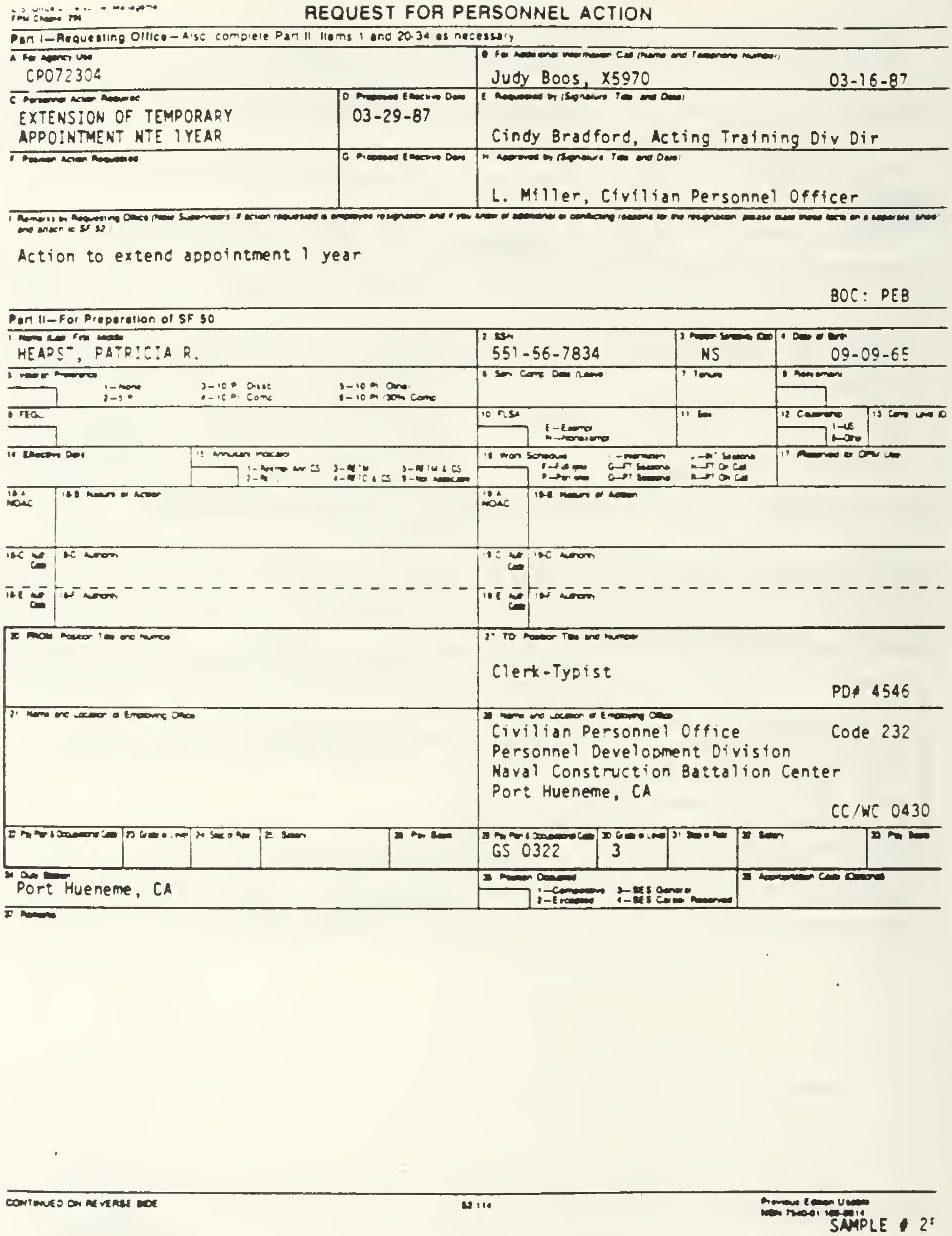

U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office—Also complete Part II items 1 and 20-34 as necessary

A For Agency Use: CP072304

B For Additional Information Call (Name and Telephone Number): Judy Boos, X5970 03-16-87

C Personnel Action Requested: EXTENSION OF TEMPORARY APPOINTMENT NTE 1YEAR

D Proposed Effective Date: 03-29-87

E Requested by (Signature, Title and Date): Cindy Bradford, Acting Training Div Dir

F Position Action Requested:

G Proposed Effective Date:

H Approved by (Signature, Title and Date): L. Miller, Civilian Personnel Officer

I Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Action to extend appointment 1 year

BOC: PEB

Part II—For Preparation of SF 50

1 Name (Last, First, Middle): HEARST, PATRICIA R.

2 SSN: 551-56-7834

3 Position Sensitivity Code: NS

4 Date of Birth: 09-09-65

5 Veteran Preference: 1—None 2—5 Pt 3—10 Pt Disab 4—10 Pt Comp 5—10 Pt Other 6—10 Pt (30% Comp)

6 Serv. Comp. Date (Leave):

7 Tenure:

8 Retirement:

9 FEGLI:

10 FLSA: E—Exempt N—Nonexempt

11 Sex:

12 Citizenship: 1—US 8—Other

13 Comp. Level ID:

14 Effective Date:

15 Annuitant Indicator: 1—Reemp Ann CS 2—Re... 3—RET M 4—RET C & CS 5—RET M & CS 9—Not Applicable

16 Work Schedule: F—Full time P—Part time I—Intermittent G—FT Seasonal Q—PT Seasonal J—INT Seasonal H—FT On Call R—PT On Call

17 Reserved for OPM Use

18-A NOAC

18-B Nature of Action

18-C Auth Code

18-D Authority

18-E Auth Code

18-F Authority

19-A NOAC

19-B Nature of Action

19-C Auth Code

19-D Authority

19-E Auth Code

19-F Authority

20 FROM: Position Title and Number

21 TO: Position Title and Number: Clerk-Typist PD# 4546

21 Name and Location of Employing Office

28 Name and Location of Employing Office:

Civilian Personnel Office Code 232
Personnel Development Division
Naval Construction Battalion Center
Port Hueneme, CA
CC/WC 0430

22 Pay Plan & Occupational Code

23 Grade or Level

24 Step or Rate

25 Salary

26 Pay Basis

29 Pay Plan & Occupational Code: GS 0322

30 Grade or Level: 3

31 Step or Rate

32 Salary

33 Pay Basis

34 Duty Station: Port Hueneme, CA

35 Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved

36 Appropriation Code (Optional)

37 Remarks

CONTINUED ON REVERSE SIDE

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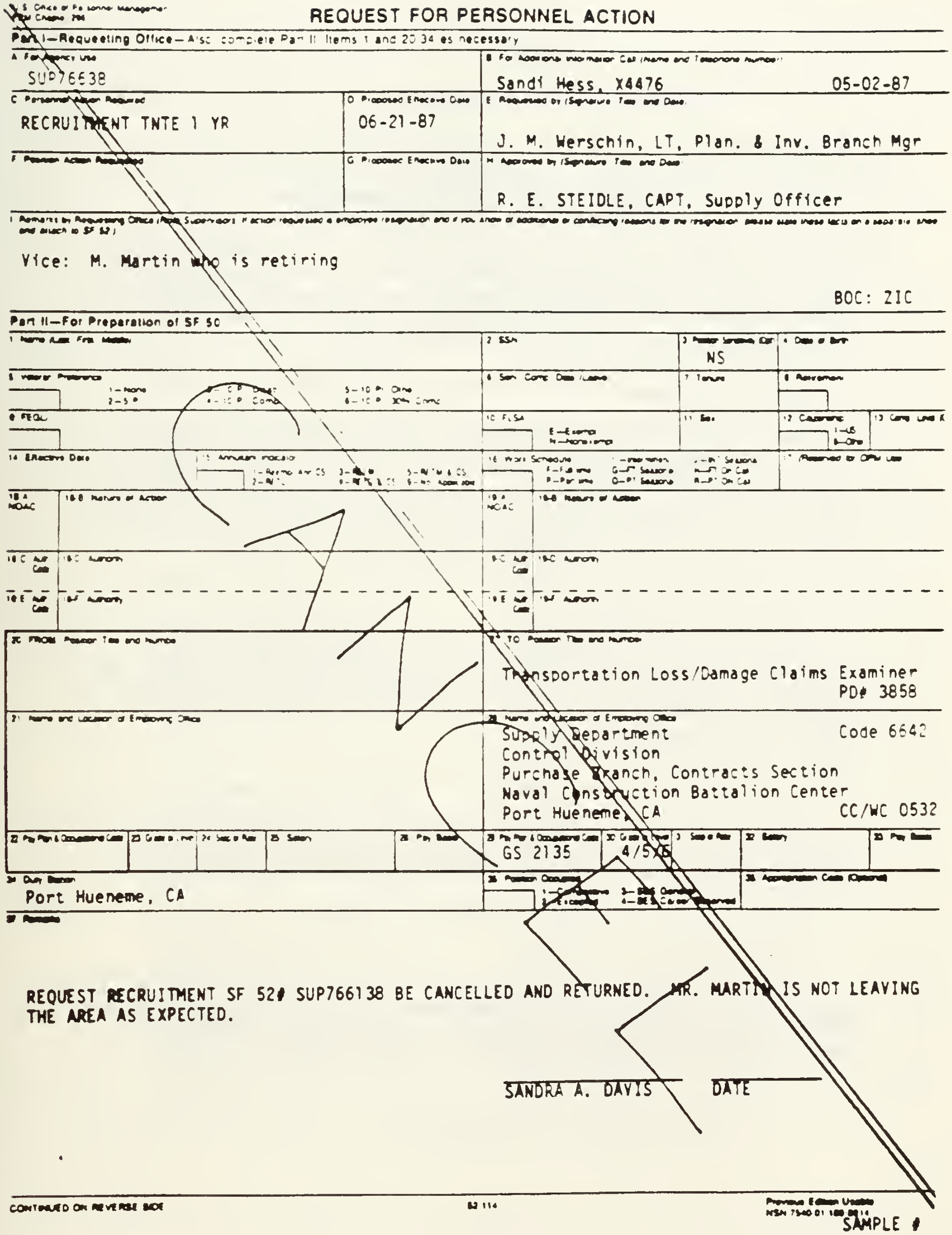
SAMPLE # 2F



U.S. Office of Personnel Management
FPM Chapter 296

REQUEST FOR PERSONNEL ACTION

Part I—Requesting Office— Also complete Part II items 1 and 20-34 as necessary

A. For Agency Use: SUP76638

B. For Additional Information Call (Name and Telephone Number): Sandi Hess, X4476 05-02-87

C. Personnel Action Requested: RECRUITMENT TNTE 1 YR

D. Proposed Effective Date: 06-21-87

E. Requested by (Signature, Title and Date): J. M. Werschin, LT, Plan. & Inv. Branch Mgr

F. Position Action Requested:

G. Proposed Effective Date:

H. Approved by (Signature, Title and Date): R. E. STEIDLE, CAPT, Supply Officer

I. Remarks by Requesting Office (Note Supervisors: If action requested is employee resignation and if you know of additional or conflicting reasons for the resignation, please state these facts on a separate sheet and attach to SF 52.)

Vice: M. Martin who is retiring

BOC: ZIC

Part II—For Preparation of SF 50

1. Name (Last, First, Middle):
2. SSN:
3. Position Sensitivity Code: NS
4. Date of Birth:
5. Veteran Preference: 1—None 2—5 P 3—10 P Disab 4—10 P Comp 5—10 Pt Other 6—10 P 30% Comp
6. Serv. Comp. Date (Leave):
7. Tenure:
8. Retirement:
9. FEGLI:
10. FLSA: E—Exempt N—Nonexempt
11. Sex:
12. Citizenship: 1—US 8—Other
13. Comp. Level K
14. Effective Date:
15. Annuitant Indicator: 1—Reemp Ann CS 2—Ret UC 3—Ret M 4—Ret UC & CS 5—Ret M & CS 9—Not Applicable
16. Work Schedule: F—Full time P—Part time I—Intermittent G—FT Seasonal Q—PT Seasonal J—Int Seasonal H—FT On Call R—PT On Call
17. (Reserved for OPM Use)
18-A. NOAC 18-B. Nature of Action
18-C. Auth Code 18-D. Authority
18-E. Auth Code 18-F. Authority
19-A. NOAC 19-B. Nature of Action
19-C. Auth Code 19-D. Authority
19-E. Auth Code 19-F. Authority
20. FROM: Position Title and Number
21. TO: Position Title and Number: Transportation Loss/Damage Claims Examiner PD# 3858
21. Name and Location of Employing Office
28. Name and Location of Employing Office:

Supply Department Code 6642
Control Division
Purchase Branch, Contracts Section
Naval Construction Battalion Center
Port Hueneme, CA CC/WC 0532

22. Pay Plan & Occupational Code
23. Grade or Level
24. Step or Rate
25. Salary
26. Pay Basis
29. Pay Plan & Occupational Code: GS 2135
30. Grade or Level: 4/5/6
31. Step or Rate
32. Salary
33. Pay Basis
34. Duty Station: Port Hueneme, CA
35. Position Occupied: 1—Competitive 2—Excepted 3—SES General 4—SES Career Reserved
36. Appropriation Code (Optional)
37. Remarks

CANCEL

REQUEST RECRUITMENT SF 52# SUP766138 BE CANCELLED AND RETURNED. MR. MARTIN IS NOT LEAVING THE AREA AS EXPECTED.

SANDRA A. DAVIS DATE

CONTINUED ON REVERSE SIDE

52-114

Previous Edition Usable
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SAMPLE #

SECTION F

MANAGING TO PAYROLL - IMPACT ON SF 52 SUBMISSION

Manage to Payroll authority has given managers more flexibility in position management and any consequent organizational changes and reorganizations will result in new Personnel and Position actions. Managing to Payroll program support memos have been distributed to tenant activities and delegation letters have been distributed to all CBC Payroll Managers. These outline local policies and guidelines for new actions under Managing to Payroll.

1. ORGANIZATIONAL CHANGES:

Under Managing to Payroll, organizational changes will result in managers submitting requests for realignment of personnel. A requirement exists to inform CPO of these changes in order to maintain our NCPDS database. All SF 52s submitted which are part of an organizational change e.g. reassignment of personnel into a newly created division, reassignment of personnel out of a division or branch being abolished, should be accompanied by an "Organizational Change" memo, a sample of which is included with Section G. These need to be submitted only if they have not previously been submitted with another personnel/position action.

2. ESTABLISHING NEW POSITIONS

SF 52s which establish new positions classified by the Payroll Manager should be accompanied by copies of the new PD and if you wish to recruit or this position - a copy of the Job Analysis. An organizational chart showing current personnel in the department where the new position is located (with Pay Plan, Series and Grade of all civilians and rank of military personnel) should also accompany the PDs.

3. CLASSIFICATION OF IMMEDIATE SUBORDINATES

Payroll Managers are not delegated authority to classify immediate subordinate positions. SF 52's involving classification of an immediate subordinate should be routed through the CO/Officer in Charge of your activity, prior to submission to CPO, for their signature on the PD cover sheet, OF8.

4. REVIEW OF POSITIONS

Position Action Requests on a SF 52 by the department for an official "Review" of a position in Item F., are no longer required under Managing to Payroll. The review process should be performed with your Personnel Management Specialist prior to submission of any SF 52 rather than after the action is requested; informal requests by memo or phone call for review of positions will be honored.

SECTION G

TABLE OF ENCLOSURES TO BE SUBMITTED WITH SF 52

The following types of Personnel and Position actions all require submission of a SF 52 to the Civilian Personnel Office. This table lists the enclosures that should be forwarded with the SF 52. Delays in processing actions may be caused by incomplete packages being submitted.

Key J/A = Job Analysis form
PD = Position Description
OF8 = PD Cover sheet
OCM = Organizational Changes Memo
OCH = Organizational Chart
ES = Evaluation Statement

TYPE OF ACTION	ENCLOSURES
AWARD (SSP or OSI)	Last Annual BPAP
AWARD (SPECIAL ACT OR SERVICE)	Special Act or Service Recommendation Form
DETAIL (TO ESTABLISHED POSITION)	1PD Detail Termination SF 52
DETAIL (TO UNCLASSIFIED POSITION)	Summary of Duties & Detail Termination SF 52
DETAIL EXTENSION	Amendment to Termination SF 52**
LEAVE WITHOUT PAY (LWOP)	RTD SF 52 If empl. leaving area Resignation SF 52
LWOP EXTENSION	Amendment to resignation SF 52**
PROMOTION (ACCRETION OF DUTIES)	2PD OF8 ES
PROMOTION (CAREER LADDER)	1PD OF8
PROMOTION (TEMPORARY)	1PD Change to Lower Grade (CLG) SF 52
PROMOTION (EXTENSION OF TEMP PROMOTION)	Amendment to CLG SF 52**
PROMOTION (STUDENT AID)	1PD Payroll Memo & Supporting docs (See Section D)
REASSIGNMENT (TO NEW POSITION)	3PD OF8 ES OCH
REASSIGNMENT (TO ESTABLISHED POSITION)	1PD OF8
RECRUITMENT (NEW POSITION IN EXISTING ORG)	4PD* OF8 J/A ES OCH
RECRUITMENT (NEW POSITION WITH ORG CHANGE)	4PD* OF8 J/A OCH OCM
RECRUITMENT (ESTABLISHED POSITION)	2PD* OF8 J/A
SENSITIVITY CHANGE	OF8
SUSPENSION	Return To Duty SF 52 and Reference letter
TEMPORARY APPOINTMENT (EXTENSION)	Extension Memo (See sample Page 57)

* ** PLEASE SEE OVER FOR EXPLANATORY NOTES

SF 52 GUIDE

Note A number before PD indicates the number of copies to be submitted with the SF 52. The PDs submitted to CPO may be used for all or some of the following:

a. For the Recruitment Case File

b. For the PD file (original)

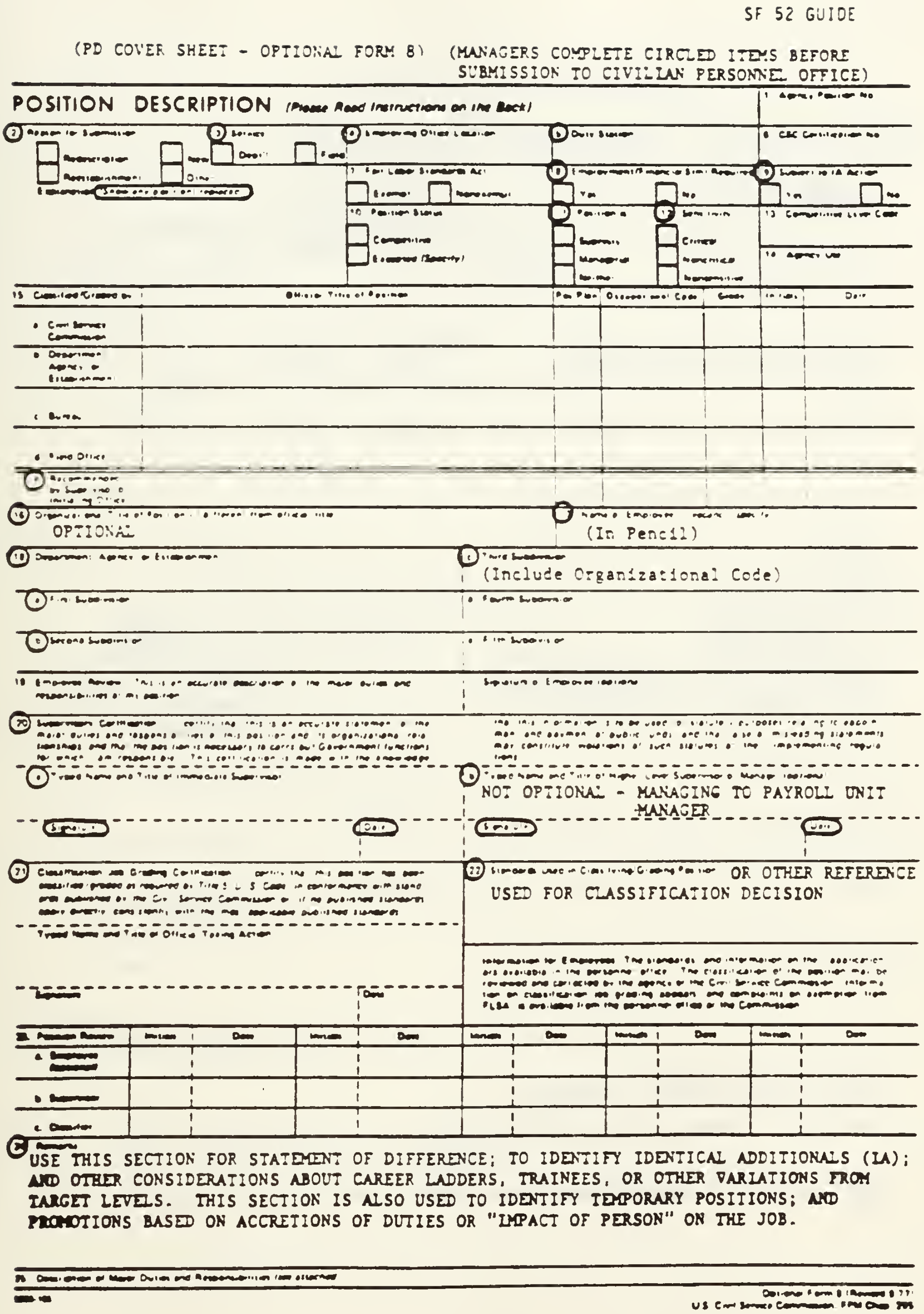
c. In the employee's OPF

d. For completed OF8 to be returned to your department (For New Positions)

PD* One of the PDs submitted should be highlighted showing the major duties for the Job Analysis (for recruitments expected to be filled by Merit Promotion). If the package is accompanied by a complete copy of a Job Analysis form with the major duties listed, then the PD need not be highlighted.

J A Job Analysis need only be submitted if the position is expected to be filled by Merit Promotion, other than an open continuous register.

** Amendments to dates and other information submitted on previous SF 52s may be included in the remarks block (Item I. of the new SF 52. The SF 52 Number of the previous SF 52 to be amended should be referenced. These are not true enclosures but just comments to be submitted on the new SF 52.



SF 52 GUIDE

(PD COVER SHEET - OPTIONAL FORM 8) (MANAGERS COMPLETE CIRCLED ITEMS BEFORE SUBMISSION TO CIVILIAN PERSONNEL OFFICE)

POSITION DESCRIPTION *(Please Read Instructions on the Back)*

OPTIONAL

(In Pencil)

(Include Organizational Code)

NOT OPTIONAL - MANAGING TO PAYROLL UNIT MANAGER

OR OTHER REFERENCE USED FOR CLASSIFICATION DECISION

Typed Name and Title of Official Taking Action

USE THIS SECTION FOR STATEMENT OF DIFFERENCE; TO IDENTIFY IDENTICAL ADDITIONALS (IA); AND OTHER CONSIDERATIONS ABOUT CAREER LADDERS, TRAINEES, OR OTHER VARIATIONS FROM TARGET LEVELS. THIS SECTION IS ALSO USED TO IDENTIFY TEMPORARY POSITIONS; AND PROMOTIONS BASED ON ACCRETIONS OF DUTIES OR "IMPACT OF PERSON" ON THE JOB.

JOB ANALYSIS FOR MERIT PROMOTION

POSITION TITLE: ____________________ ORGANIZATION ____________________

SERIES AND GRADE(S) ____________________ SUBJECT MATTER EXPERT ______________

EXT. ______________

P.D. NUMBER(S) ____________________

STEP A

MAJOR DUTIES OR JOB FUNCTIONS

#1

2

3

4

5

STEP B	STEP C
ESSENTIAL, RATEABLE & DISTINGUISHABLE KNOWLEDGES, SKILLS AND ABILITIES (KSA'S) JOB ELEMENTS - WITH DEFINITIONS	# OF MAJOR DUTY OR DUTIES REQUIRING KSA OR PARAGRAPH # IN PD REQUIRING KSA
1	______________
2	______________
3	______________
4	______________
5	______________

QUALITY RANKING FACTOR IS KSA # __________.

STEP D

OTHER - SELECTIVE FACTOR, IF APPLICABLE; NOTES; TRAVEL; WORKING CONDITIONS, ETC.

JOB ANALYSIS FOR MERIT PROMOTION

POSITION TITLE: Budget Analyst

ORGANIZATION OPM Budget Branch, CESO

SERIES AND GRADE(S) GS-560-5/7/9

SUBJECT MATTER EXPERT C. Smith

EXT. X 4703

P.D. NUMBER(S) 22XX/22XY/38XZ

STEP A

MAJOR DUTIES OR JOB FUNCTIONS

#1 Assists in POM/Budget Preparations including word processing and computer generation of budget exhibits.
2 Maintains funds status and pending requirements
3 Conducts studies of problems related to budget execution and funds control
4 Assists in determining required reprogramming actions
5

	STEP B	STEP C
	ESSENTIAL, RATEABLE & DISTINGUISHABLE KNOWLEDGES, SKILLS AND ABILITIES (KSA'S) JOB ELEMENTS - WITH DEFINITIONS	# OF MAJOR DUTY OR DUTIES REQUIRING KSA OR PARAGRAPH # IN PD REQUIRING KSA
1	KNOWLEDGE OF FINANCIAL ACCOUNTING PROCEDURES AND RECORDS	1, 2, 3, 4
2	ABILITY TO ANALYZE FINANCIAL DATA	1, 3, 4
3	ABILITY TO COMMUNICATE ORALLY AND IN WRITING	1, 2, 3, 4
4	KNOWLEDGE OF AUTOMATED DATA PROCESSING (ADP) SYSTEMS	1
5		

QUALITY RANKING FACTOR IS KSA # 1.

STEP D

OTHER - SELECTIVE FACTOR, IF APPLICABLE; NOTES; TRAVEL; WORKING CONDITIONS, ETC.

10% TRAVEL REQUIRED

SF 52 GUIDE

EXTENSION OF TEMPORARY APPOINTMENT MEMO

(This is an example of the memorandum to be sent to CPO with a SF 52 for extension of temporary appointment. The memo should be typed on 8 1/2 x 11 paper and include the employee's name, the period of the extension and the reason for the extension. The lower section of the memorandum is used for an endorsement of the action by the Personnel Office and a copy of the completed memo is filed in the employees OPF with the SF 52.)

12000/80
5 May 87

MEMORANDUM

From: Code 80
To: Code 231

Subj: EXTENSION OF TEMPORARY APPOINTMENT IN THE CASE OF JOAN W. COLLINS

1. Ms. Collins position is required in the Maintenance Division, Metal Trades Branch. This extension is requested as the work that Ms. Collins has been doing, which was expected to last only for one year, has not yet been completed and is expected to last another year.

2. I am requesting that Ms. Collins appointment be extended for a period of time not to exceed 1 year.

D. G. MORRIS

(Space for Civilian Personnel Office endorsement)

SF 52 GUIDE

ORGANIZATIONAL CHANGE AND PERSONNEL REALIGNMENT MEMO

This sample memo illustrates the method to notify Codes 22/23 of organizational changes you are making under your delegated position management/position classification authority. To provide a vehicle for reviewing organizational changes, to allow processing of associated personnel actions, and to assure an up-to-date civilian personnel (NCPDS) data base, all changes must be submitted in the following format. An assumption is made that all proposed organizational changes fall within delegated Position Management authorities.

From (Your code)
To: Civilian Personnel Department

Subj: ORGANIZATIONAL CHANGE AND PERSONNEL REALIGNMENT FOR CODE ____

Ref: (a) CO DTRC Memo DTRCDDC11F 12510 233 of Mar 87
(b) DTRC Organizational Manual

Encl: (1) New/Revised Mission and Function Statements (if changed)
(2) New/Revised Organizational Chart (if changed)

1. SUMMARY OF CHANGES (briefly summarize planned change)

2. FUNCTIONAL STATEMENT CHANGE (List all changes in an "Add, Delete and/or Change" format either here or as an enclosure. Reference your Organization Manual. Please highlight changes.)

3. ORGANIZATIONAL CHANGES (list all changes in an "Add, Delete and/or Change" format either here or as an enclosure)

4. PERSONNEL REALIGNMENTS (Summarize briefly the personnel changes occuring as a result of the organizational/functional changes above.)

5. CERTIFICATION As the Head of this Managing to Payroll unit, I certify that the additions, deletions and/or changes to the mission, function and organization described here reflect current mission requirements of this organization. I also certify that all personnel actions necessitated by these organizational changes will not impact grade levels of other positions within or outside of this unit. These organizational changes and personnel actions are consistent with reference (a) and related guidance and training and are within my delegated authority.

(signed)
Managing to Payroll Unit Head

Copy to:
Code 22
Code 24
Other Impacted Organizations (if any)

SF 52 GUIDE

STUDENT AID EMPLOYMENT HOURS VERIFICATION MEMO

(ACTIVITY LETTERHEAD)

DATE

From: Department XYZ, Code ABC
To: Payroll, Code 2421

Subj: VERIFICATION OF TOTAL HOURS WORKED UNDER THE STAY IN SCHOOL/SUMMER AID PROGRAM FOR (INSERT STUDENTS NAME)

1. Please indicate the number of subject hours for the above named individual and return this form by ____(DATE)____. This information is required to determine promotion eligibility under the Student Aid programs.

2. Your prompt cooperation is appreciated. Please contact me at Ext. ____ for additional information.

SUPERVISOR ______________________________

FOR PAYROLL COMPLETION

Name of Student: ______________________________

Periods of employment: ______________________ to present

Total hours worked: ______________________________

PAYROLL CLERK SIGNATURE ______________________ DATE ____________

(Further copies of this memorandum may be obtained from CPO, Code 231E)

SECTION H

This table outlines general guidelines to follow when detailing employees. For further guidance on specific cases, please contact your servicing CPO Operations team. SF 50 (Notification of Personnel Action) is no longer produced; the SF 52 is filed permanently in the OPF (RHS). Where a SF 52 is not required, a memo for the record provides evidence of dates and work expereince for the employee. Note. Table does not apply to SES positions

TABLE OF DETAIL LIMITATIONS

DETAIL TO	LENGTH OF DETAIL	APPROVING AUTHORITY	SF 52 REQUIRED	COMPETITION REQUIRED	NOTES
Any Grade B	30 days or less	Supervisor 1	No 2	No	See Note B
Same Grade with Known Promotion Potential	Initial period more than 30 days NTE 120 days 1	CPO	Yes	Yes 5	Submit SF 52 in advance to CPO (These cases should be very rare)
	Extended beyond 120 days NTE 1 year 4	CPO	Yes	Yes	
Same grade with No Promotion Potential, OR To be a lower grade	Initial period more than 30 days NTE 120 days 3	CPO	Yes 6	No	SF 52 may be required as documentation in OPF - Submit within 10 working days of the start of the detail
	Extended beyond 120 days NTE 1 year 4	CPO	Yes	No	
Higher Grade B	Initial Period more than 30 days NTE 120 days 3	CPO	Yes	Yes 5	Submit SF 52 in advance to CPO
	Extended beyond 120 days NTE 1 year 4	CPO	Yes	Yes	
Unestablished Position	30 days or Less	Supervisor	No	No	
	Initial Period more than 30 days NTE 120 days 3	CPO	Yes	No	Submit SF 52 in advance & furnish brief statement of duties
	Extended beyond 120 days NTE 1 year 4	CPO	Yes	No	

B Details of more than 10 working days to a higher grade of a Bargaining Unit member must be made a temporary promotion with pay retroactive from the first day of the assignment/detail. The employee must be qualified.

1 Consult CPO immediately if period of detail is not firmly established at 30 days or less

2 SF 52 is required if the employee is on light duty. SF 52s for details of less than 30 days may be submitted to CPO if desired, but this is optional.

3 Initial detail and extensions authorized in increments of 120 days

4 Extensions beyond 1 year require Office of Personnel Management (OPM) approval except details to an organization undergoing a commercial activity study may be extended by the agency, in 120 day increments, up to a maximum of 2 years.

5 Competition is not required unless the employee has served 120 days in the position in the previous 12 months on details to higher grade and/or temporary promotions.

6 An SF 52 is not required for a detail to a position that is identical to the employee's current position or that is of the same grade, series and basic duties as the employee's current position.

SECTION I

SF 52 TRACKING SYSTEM

The progress of the following types of actions submitted to CPO is monitored using our internal SF 52 tracking system. The Samples on pages 64 and 65 provide further information on the system and how SF 52 numbers are assigned.

TYPE OF ACTION	WHERE TO CALL FOR FURTHER INFORMATION
AWARD (SUSTAINED SUPERIOR PERFORMANCE)	EMPLOYEE RELATIONS DIVISION
CANCEL POSITION	YOUR OPERATIONS TEAM
CHANGE TO LOWER GRADE (FROM TEMP PROMOTION)	YOUR OPERATIONS TEAM
CONVERSION TO NEW TEMPORARY APPOINTMENT	YOUR OPERATIONS TEAM
DETAIL EXTENSION	YOUR OPERATIONS TEAM
DETAIL TERMINATION	YOUR OPERATIONS TEAM
DETAIL TO ESTABLISHED POSITION (AT GRADE)	YOUR OPERATIONS TEAM
DETAIL TO HIGHER LEVEL DUTIES	YOUR OPERATIONS TEAM
DETAIL TO LOWER LEVEL DUTIES	YOUR OPERATIONS TEAM
DETAIL TO UNCLASSIFIED DUTIES	YOUR OPERATIONS TEAM
DETAIL TERMINATION	YOUR OPERATIONS TEAM
LEAVE WITHOUT PAY (LWOP)	YOUR OPERATIONS TEAM
LWOP EXTENSION	YOUR OPERATIONS TEAM
PROMOTION (ACCRETION OF DUTIES)	YOUR OPERATIONS TEAM
PROMOTION (CAREER LADDER)	YOUR OPERATIONS TEAM
PROMOTION (TEMPORARY)	YOUR OPERATIONS TEAM
PROMOTION (EXTENSION OF TEMPORARY PROMOTION)	YOUR OPERATIONS TEAM
PROMOTION (STUDENT AID)	STUDENT AID COORDINATOR-231E
PROMOTION (TERM)	YOUR OPERATIONS TEAM
REASSIGNMENT	YOUR OPERATIONS TEAM
RECRUIT/ESTABLISH	YOUR OPERATIONS TEAM
RECRUIT ESTABLISH IDENTICAL ADDITIONAL	YOUR OPERATIONS TEAM
RECRUIT/ESTABLISHED	YOUR OPERATIONS TEAM
RECRUIT (TEMPORARY)	YOUR OPERATIONS TEAM
RECRUIT (UPWARD MOBILITY)	YOUR OPERATIONS TEAM
RESIGNATION	OPERATIONS/EMPLOYEE RELATIONS DIVISION
RETURN TO DUTY	YOUR OPERATIONS TEAM
SENSITIVITY CHANGE	YOUR OPERATIONS TEAM
SUSPENSION (These are tracked anonymously)	EMPLOYEE RELATIONS DIVISION
TEMPORARY APPOINTMENT (EXTENSION)	YOUR OPERATIONS TEAM

CPO distributes a weekly list of active Personnel Action requests (SF 52) produced from the tracking system. This listing is for your information, review, and feedback. If you find any discrepancies in the list, or have any comments concerning the report, please contact the Employment Operations Division Director, Code 231.

SF 52 GUIDE

MEMORANDUM

From: Civilian Personnel Officer
To: Distribution

Subj: SF 52 NUMBERS

1. During recent months we have been improving our existing management support systems and testing new systems involving the Wang VS and Local Area Network.

2. We ask your support in making a change to the Standardized SF 52 numbering system. The following changes will not only make these numbers compatible with the local APS (Automated Personnel System), but also with the Navy wide NCPDS (Naval Civilian Personnel Data System).

3. The following format should be used immediately on all electronic and paper SF 52s submitted to the Civilian Personnel Office. These should be included in their entirety in Block A of Part 1, the first block on the SF 52 or on the SF 52 number entry on the APS screen. These numbers will also continue to be used as case numbers for recruitment actions.

	ORGANIZATION TITLE	CODE	SF52 NUMBERS
CBC	COMMAND OFFICE	1C	COX81X01
	SAFETY OFFICE	21	COX82X01
	STAFF JUDGE ADVOCATE OFFICE	14	COX84X01
	CHAPEL OFFICE	16	COX86X01
	PORT SERVICES	70	COX87X01
	PUBLIC AFFAIRS OFFICE	10D	COX80X01
	CIVIL ENGINEER SUPPORT OFFICE	15	CES8XX01
	FACILITIES SYSTEMS OFFICE	18	FAC8XX01
	ADMINISTRATION OFFICE	22	ADM8XX01
	CIVILIAN PERSONNEL OFFICE	23	CPO8XX01
	COMPTROLLER	24	COM8XX01
	MILITARY AFFAIRS	30	MIL8XX01
	SUPPLY DEPARTMENT	6C	SUP8XX01
	PUBLIC WORKS DEPARTMENT	80	PWD8XX01
	CONSTRUCTION EQUIPMENT DEPARTMENT	9C	CED8XX01
	SECURITY DEPARTMENT	12C	SEC8XX01
	NAVAL FACILITIES CONTRACTS TRAINING CENTER		CTC8XX01
	PROCUREMENT MANAGEMENT REVIEW BRANCH		PMR8XX01
	NAVFAC CONTRACTS OFFICE		NCO8XX01
TENANTS	BRANCH COMMISSARY STORE		NRS8XX01
	CIVIL ENGINEER CORPS OFFICER SCHOOL		CEC8XX01
	COMCBPAC EQUIPMENT OFFICE		PAC8XX01
	NAVAL CIVIL ENGINEERING LABORATORY		CEL8XX01
	NAVAL CONSTRUCTION TRAINING CENTER		NCT8XX01
	NAVAL ENERGY AND ENVIRONMENTAL SUPPORT ACTIVITY		NEE8XX01
	NAVAL LEGAL SERVICE OFFICE DETACHMENT		NLS8XX01
	NAVAL MEDICAL CLINIC		NMC8XX01
	NAVAL SUPPORT FORCE ANTARCTICA		NSF8XX01
	THIRTY FIRST NAVAL CONSTRUCTION REGIMENT		NCR8XX01

SF 52 GUIDE

Subj: SF 52 NUMBERS

4. Following is an explanation of the numbering scheme. The basic changes from the previous system is that all numbers will be 8 characters and that you will only be designated 4 characters for internal use instead of 5. Hopefully, this will be sufficient for your department/activity to track your own actions internally.

CHARACTER	TYPE	EXAMPLE	COMMENTS
1 2 3	ALPHA	CES	Designates Organization/Manage to Payroll Unit
4	NUMERIC	8	Refers to Fiscal Year submitted (Should be "9" after 1 Oct 88)
5 6 7 8	ALPHA NUMERIC	4201	For the internal use of each department/activity and may be used in any way which is suitable as long as each SF 52 submitted has a unique number. The following are suggestions: XX May be used to refer to an internal division code 01 May be used to designate a sequence number.

5. The departments under the Command Office Manage to Payroll Unit have the fifth character designated as the organizational code, but first four characters will be similar.

6. Any questions or suggestions on the modified numbering system should be directed to your Personnel Specialist in Code 231.

LOREN MILLER

Distribution:

CBC & Serviced Tenants

SECTION J

GLOSSARY OF TERMS

(RELATING TO PROCESSING PERSONNEL ACTIONS)

The following is a list of terms and acronyms that either appear in this guide or that you may encounter during processing Personnel or Position actions.

( ) Numbers in parentheses after definitions refer to the subchapters and supplements in the FPM where more information can be found.

[ ] Numbers in parentheses after definitions refer to the page(s) in this guide where the term is used.

ACCESSION	A personnel action which results in the addition of an employee to the rolls (staff) of an organization. See APPOINTMENT.
ACTIVITY	An organizational unit of a Federal agency eg CBC, NCEL, NCTC.
AGENCY	Any department or independent establishment of the Federal Government which has the authority to hire employees in the Competitive, Excepted and Senior Executive Service, eg Department of the Navy.
APAS	Alternative Performance Appraisal Program
APPOINTING OFFICER	A person having power by law, or by duly delegated authority, to make appointments. (210)
APPOINTMENT	Any personnel action that brings an individual onto the rolls (staff) of an agency. See ACCESSION. (295) [5,9,14,17,18,57,63]
BARGAINING UNIT	A group of employees that the employer has recognized and certified as appropriate to be represented by a union for the purpose of collective bargaining.
BOC	Billet Occupational Code [11]
BPAP	Basic Performance Appraisal Program. (430) [51]
CANCEL	When a specific position is no longer needed it may be cancelled and the PD will no longer be maintained. The position may either be encumbered and the employee is moving to another position through reassignment, realignment, or accretion of duties promotion, or it may be vacant and just no longer required. [5,6,11,14,22,63]

CAREER LADDER	Also Developmental Position. This indicates the successive grade levels through which an employee may advance to the full performance level of the position to which appointed or assigned. The career ladder is established based on a classification decision that sufficient work exists at the full performance level to support the grade. A career ladder provides progressively more responsible experience and noncompetitive promotion potential for incumbents up to the designated full performance level. Promotions are not guaranteed. [10,12,14,31,51,63]
CERTIFICATE	A list of eligibles ranked, according to regulations, for appointment or promotion consideration. (332)
CHANGE TO LOWER GRADE / CLG	The movement of an employee while serving continuously within the same agency, to a position at a lower grade level within the same job classification system and pay schedule, or to a position with a lower rate of basic pay in a different job classifiction system and pay schedule. Used to be called "Demotion", but this term should no longer be used. (335 Book 530, Supp. 532-1) [5,35,63]
CLASSIFY	To evaluate the duties and responsibilities of a position and assign Pay Plan, Title, Occupation Series and Grade to it. (511, 512) [49]
COMPETITIVE AREA	For Reduction In Force, that part of an activity within which employees are in competition for retention. Generally is restricted by what is considerd a "local commuting area". (351)
CONVERSION	To change an employee from one appointment to another in the same agency without a break in service. (For example, the process of changing an employee from a temporary appointment to a career-conditional appointment is done by means of a conversion action.) (539, 316)
COST CENTER/WORK CENTER CC/WC	A code used for tracking activities' fiscal accounting. [9,13,14]
CREDITING PLAN	Rating criteria against which all eligible, qualified promotional candidates are evaluated.
DETAIL	A temporary assignment of an employee to a different position for a specified period with no change in pay and the employee returning to his/her regular duties at the end of the detail. Technically, a position is not filled by a detail, as the employee continues to be the incumbent of the position from which detailed. (300) [5,11,13,14,23,24,25,26,51,61]
DISCHARGE	This nature of action documents an agency-initiated action to take an employee off its rolls (for work performance and/or for misconduct or delinquency) when employee is serving on an appointment that does not afford him/her appeal rights.
EFFECTIVE DATE	The date on which a personnel action takes place and on which the employee's official assignment begins. [9,10]
ELIGIBLE	Any applicant for appointment or promotion who meets the basic qualification requirements. (210, 337) [10,17]

ENTRY LEVEL POSITION	The entry position in an occupation having multiple grade levels to reach full performance level. (511)
ENTRY ON DUTY / EOD	The process by which a person completes the necessary paperwork and is sworn in as an employee or the first day the employee is in a pay status.
ESTABLISH	The creation of a new position in an organizational unit. The position may be within an existing range of pay plans, series, titles, or grades currently existing in the unit, or not within this range. [5,6,11,14,37]
FEDERAL PERSONNEL MANUAL / FPM	The official OPM publication that contains personnel regulations, Civil Service law and instruction to Federal Agencies.
FPM SUPPLEMENTS	Parts of the FPM System which amplify or explain in detail various subjects covered in the basic FPM.
FEDERAL WAGE SYSTEM FWS	The job grading and pay systems established under Public Law 92-392, dated August 19, 1972, and which apply to most trade, craft, and labor positions in agencies subject to 5 U.S.C. 5342. Under this system the pay of certain Federal employees is adjusted according to the rates paid by private industry for similar jobs in the same area. Included under these systems are Federal employees in recognized trade or craft or skilled mechanical crafts, in unskilled, semiskilled or skilled manual labor occupations, and other persons, including foremen or supervisors, in positions where trade, craft or labor experience or knowledge is the main requirement (532
FEGLI	Federal Employee's Group Life Insurance (870)
FERS	Federal Employees Retirement System
FULL PERFORMANCE LEVEL	That level of work designated by management and established by the application of the appropriate classification standard(s), which depicts the highest level of duties and responsibilities performed in a position
GENERAL SCHEDULE / GS	The GS graded pay system (which includes GM positions), established under the Classification Act of 1949, as amended (5 U.S.C. Chapter 51 and Chapter 53, Subchapter III). (531)
GM	Pay Plan for General Schedule employees in grades 13 through 15 who are in supervisory, managerial or management official positions. See PMRS.
GRADE RETENTION	The right of a General Schedule or prevailing rate employee, when demoted for certain reasons, to retain the higher grade for most purposes for two years. (536)
HANDBOOK X-118	Qualifications standards manual for General Schedule positions.
HANDBOOK X-118C	Qualifications standards manual for Wage Grade positions.
JOB ANALYSIS / J/A	The process of systematically collecting, processing, analyzing and interpreting the duties, responsibilites and level of work and the skills, abilities and knowledge needed to do the work of a position in order to provide a job-related basis for evaluation and selection. [12,49,51]

JOB DESCRIPTION	See POSITION DESCRIPTION
LEAVE WITH PAY / LWP	An Absence from duty with pay (in sick leave status) granted at the employee's request following the approval of a disability retirement application, or after application for optional retirement due to disability. (630)
LEAVE WITHOUT PAY / LWOP	A temporary non pay status and absence from a prescheduled tour of duty, granted at the employees's request. (630) [5,6,7,15,27]
MASS CHANGE	Realignment - Movement of an employee with a position within the same agency, during a reorganization with no change in the employee's position grade or pay. [7,8]
MASS TRANSFER	The movement of an employee with his/her position to a different agency when (1) a transfer of function or an organization change takes place and (2) there is no change in the employee's position, grade or pay.
MERIT PAY SYSTEM	The previous term for Performance Management and Recognition System. See PMRS.
MSPB	Merit Systems Protection Board
MTP MANAGING TO PAYROLL	Fundamental change in managing personnel resources implemented by the Department of the Navy. Under MTP, line management is responsible for Position Management and Position Classification and personnel costs are controlled by allocation of payroll to lowest practicable level of supervision. [49]
NACI	National Agency Check and Inquiry - The investigation of applicants for, and new appointees to, nonsensitive Federal position by means of a name check through national investigative files and voucher inquiries. (736)
NCPDS	Naval Civilian Personnel Data System - An Automated Data Processing system designed to improve the accuracy, responsiveness, and usefulness of information required for personnel management both within and outside the Department of the Navy, DON. [7,9,13,14,49,58]
NONAPPROPRIATED FUND EMPLOYEE NAF	Persons paid by Nonappropriated Funds of the agency. Generally, these employees are responsible for the comfort, pleasure and contentment of personnel of the Armed Forces.
NONCOMPETITIVE ACTION	Personnel action based on prior service and made without regard to civil service registers of eligibles or to the priorities required for making temporary appointments outside the register. (210, 315)
OCPM	The Office of Civilian Personnel Management (Navy)
OFFICIAL PERSONNEL FOLDER / OPF	The official repository of records and reports of personnel actions effected during an employee's civilian government service and the documents required in connection with such actions. (293) [8,52,57,61]
OF8	Optional Form 8 - The cover sheet to be attached to all description duties statements. The OF8 together with the Duties statement make up the complete Position Description. [14,49,51]

OPM	The Office of Personnel Management formerly the Civil Service Commission.
PAY PLAN	The Pay System or pay schedule under which the employee's rate of basic pay is determined eg General Schedule (GS), Leader under the Federal Wage System (WL). [13,14]
PAY RATE DETERMINANT / PRD	A designation of the special factors, if any, which have been included in the determination of the employee's salary.
PD	Position Description - Whenever the term is used in the body of the guide, it refers to the complete package consisting of the cover sheet, OF 8, and the Description of Duties. [51]
PMRS	Performance Management and Recognition System is the Pay System established under P.L. 98-615 to replace the Merit Pay System for General Schedule employees in grades GS 13 through GS 15 who are in supervisory, managerial or management official positions.
PMRS CASH AWARD	A monetary award granted under 5 U.S.C. 5407 which provides for cash awards for job related performance by PMRS employees. [13,21]
PMRS MERIT INCREASE	An agency awarded increase in rate of basic pay based on performance evaluation with no change in grade to an employee who is under PMRS.
POSITION CLASSIFICATION	Analysis of the kind of work, level of difficulty and responsibility and the qualification requirements of a position and placement of the position in a Pay Plan, Series and Grade according to published standards. See "CLASSIFY". (511, 512)
POSITION DESCRIPTION	A statement of the major duties and responsibilities comprising the work assigned to a civilian employee. Is referred to as "Job Description" for Federal Wage System positions. Whenever the term is used in the body of the guide, it refers to the complete package consisting of the cover sheet OF8, and the Statement of Duties. [51]
POSITION SENSITIVITY	Degree of sensitivity vested in the position based on its access to classified information and risk relationship to the national security. (732) [11,13]
PREMIUM PAY	Additional Pay for overtime, night, holiday, or Sunday work and standby duty. (550)
PRIORITY CONSIDERATION	The referral of individuals who by law or regulation must be considered before other candidates. It means that the individual will receive bona fide consideration by the selecting official for the next appropriate vacancy. However, an individual has no right to be selected.
PRIORITY PLACEMENT PROGRAM	Provides placement assistance to DOD employees adversely affected by RIF or declining functional transfer and to overseas returnees without reemployment rights. Employees referred on this list may block the filling of positions by other methods. The list of skills of registrants is called the "Stopper List" which certain SF 52 actions must be matched against.

PROMOTION	The change of an employee to a position at a higher rate of basic pay. (335) [5,10,12,17,30-34,51,63]
QUALITY STEP INCREASE / QSI	An increase in the employee's rate of basic pay through an additional within grade increase granted under 5 U.S.C. 5336 for sustained high quality performance. (451) [21]
REASSIGNMENT	The movement of an employee, while serving continuously within the same agency, from one position to another without promotion or demotion. (210) [5,6,18,49,36]
REDUCTION IN FORCE RIF	Separation of an employee from his/her competitive level, required by the agency because of lack of work or funds, abolition of position or agency, or cuts in personnel authorizations. (351)
REEMPLOYED ANNUITANT	A person retired under the Civil Service Retirement Law who is reemployed by the Federal Government. (210)
REEMPLOYMENT PRIORITY LIST	A list of career and career-conditional employees an agency has separated because of a RIF or a compensable injury or disability where recovery takes more than one year from the time the employee began receiving compensation, maintained locally on a commuting area basis. When a qualified person is available on this list, this may block the filling of a position by transfer or by new appointment. (330)
REGISTER	A list of qualified applicants compiled in order of relative standing for certification. Same as "list of eligibles". (332)
REINSTATEMENT	Noncompetitive reemployment in the competitive service or a career or career-conditional appointment of a person formerly employed in the competitive service who has competitive status. (315)
REPROMOTION ELIGIBLE	A current Federal employee in the competitive service who may be noncompetitively repromoted to a grade (or equivalent level in another pay system or intervening grade) previously held on a permanent basis in the competitive service, except when demoted for performance or conduct reasons
RETURN TO DUTY / RTD	Placement of an employee back in pay and duty status after absence for Furlough, Suspension or Leave Without Pay. [29]
REVIEW	The process of studying a position to ensure content of PD, title, pay plan, series and grade are accurate. [11,49]
SERIES	Positions similar in specialized line of work but varying in difficulty or responsibility of work and therefore differing in grade and pay range, eg Personnel Staffing Specialists are in the 212 series and Position Classification Specialists are in the 221 series. (511) [13,14]
STANDARD FORM 50 / SF 50	Notification of Personnel Action. The SF 50 is produced by the Civilian Personnel Office using information entered into and maintained by NCPDS. It is primarily used to notify the employee and the payroll office of the Personnel Action. In addition it is used to provide documentation in various CPO files. (296) [8,12]

STANDARD FORM 171 / SF 171	Personal Qualifications Statement form. It is the application form used in applying for most Federal positions.
STANDARDS	May be Qualification Standards (X-118 or X-118C) which cover the requirements the applicant (person) must meet OR Classification Standards which outline how the worth of duties and responsibilites of a position are measured. OR Performance Standards against which an employee's performance is evaluated.
STAY IN SCHOOL / SIS	Federal program employing low income and disabled students, also known as Student Aid program. (308) [17,18]
STOPPER LIST	List of skills of registrants of the DOD Priority Placement Program. Appropriate positions must be matched against Stopper Lists and priority may be given to registrants for some types of SF 52 actions.
SUSTAINED SUPERIOR PERFORMANCE AWARD / SSP	Incentive award granted to an employee based on superior performance of assigned duties based as reflected in the performance appraisal. (451)
TEMPORARY POSITION	Position filled on a non-continuous basis for a specified period of 1 year or less with a known termination date. (316)
TERMINATION	Separation action initiated by the agency where the employee is not at fault. Examples of this type of action are "TERMINATION (AGENCY)", "TERMINATION-INVOLUNTARY", "TERMINATION-MILITARY", "TERMINATION-DISABILITY", or "TERMINATION-EXPIRATION OF TEMPORARY APPOINTMENT"
TRANSFER	This is the movement of a career or career-conditional employee, without break in service of 1 full workday or more, from a position in one agency to a position in another agency, eg Navy to Army.
TRANSFER OF FUNCTION / T/F	For Reduction-In-Force, it is the transfer of the performance of a continuing function from one competitive area and its addition to one or more other competitive areas, except when the function involved is virtually identical to functions already being performed in the other competitive area(s) affected; or the movement of the competitive area in which the function is performed to another commuting area. (351)
VETERAN	A person who was separated with an honorable discharge or under honorable conditions from active duty in the armed forces performed in a war or campaign or expedition for which a campaign badge has been authorized or during the period between 28 Apr 52 and 1 Jul 55 or for more than 180 consecutive days, any part of which occurred during the period 1 Feb 55 to 14 Oct 76. (211)
WITHIN GRADE INCREASE / WGI	Is an increase in an employee's rate of basic pay by advancement from one step of his/her grade to the next after meeting requirements for length of service and performance. A SF 52 is not normally required by the Personnel Office for the WGI. (531)

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